

UNFCCC DECISIONS AND DOCUMENTS
FOR
LEAST DEVELOPED COUNTRIES

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Article 4.9 of the UN Framework Convention on Climate Change

The Parties shall take full account of the specific needs and special situations of the least developed countries in their actions with regard to funding and transfer of technology.

II. THE MARRAKESH ACCORDS

Decision 2/CP.7

Capacity building in developing countries (non-Annex I Parties)

The Conference of the Parties,

Being guided by Articles 4.1, 4.3, 4.4, 4.5 and 4.7, in the context of Article 3, and Articles 5 and 6 of the Convention,

Recalling the provisions related to capacity building for developing countries contained in its decisions 11/CP.1, 10/CP.2, 11/CP.2, 9/CP.3, 2/CP.4, 4/CP.4, 5/CP.4, 6/CP.4, 7/CP.4, 12/CP.4 and 14/CP.4,

Noting Article 10, paragraphs (c), (d) and (e), and Article 11 of the Kyoto Protocol,

Recalling also the paragraphs on capacity building of Agenda 21 and the Programme for the Further Implementation of Agenda 21,

Reaffirming its decision 10/CP.5,

Reaffirming also that capacity building for developing countries is essential to enable them to participate fully in, and to implement effectively their commitments under, the Convention,

Recalling further its decision 5/CP.6, containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,

1. *Adopts the framework for capacity building in developing countries annexed to this decision;*
2. *Decides that this framework should guide capacity-building activities related to the implementation of the Convention and effective participation in the Kyoto Protocol process;*
3. *Decides to give immediate effect to this framework in order to assist developing countries to implement the Convention and to effectively participate in the Kyoto Protocol process;*
4. *Notes that areas for capacity building identified under the Convention are relevant to the preparation of developing country Parties for their effective participation in the Kyoto Protocol process;*
5. *Requests the Global Environment Facility, as an operating entity of the financial mechanism, to report on its progress in support of the implementation of this framework in its reports to the Conference of the Parties;*

6. *Urges* the operating entity of the financial mechanism to adopt a streamlined and expedited approach in financing activities within this framework;

7. *Invites* bilateral and multilateral agencies, and other intergovernmental organizations and institutions, to inform the Conference of the Parties, through the secretariat, of capacity-building activities conducted to assist developing country Parties with their implementation of the framework;

8. *Encourages* bilateral and multilateral agencies, and other intergovernmental organizations and institutions, to consult with developing countries in formulating programmes and action plans to support capacity-building activities in accordance with the annexed framework;

9. *Requests* the secretariat, in accordance with this framework for capacity building, and consistent with Article 8 of the Convention, to undertake the following tasks:

(a) To cooperate with the operating entity of the financial mechanism, its implementing agencies and other entities for capacity building, to facilitate the implementation of this framework;

(b) To collect, process, compile and disseminate, in both printed and electronic formats, the information needed by the Conference of the Parties or its subsidiary bodies to review the progress in the implementation of this framework for capacity building, drawing in particular on information contained in:

(i) National communications of developing country Parties relating to capacity-building activities;

(ii) National communications of Parties included in Annex II to the Convention on activities and programmes undertaken to facilitate capacity building in developing countries related to the implementation of this framework;

(iii) Reports from the Global Environment Facility and other agencies;

(c) To provide reports to the Conference of the Parties at each of its sessions on activities to implement this framework;

10. *Decides* that the Subsidiary Body for Implementation will regularly monitor the progress of the implementation of this framework, taking into account the information provided under paragraphs 9(b) and 9(c) above, and reporting to the Conference of the Parties at each of its sessions;

11. *Decides* to conduct a comprehensive review of the implementation of this framework at the ninth session of the Conference of the Parties, and every five years thereafter;

12. *Invites* Parties to provide information through national communications and other reports to enable the Subsidiary Body for Implementation to monitor progress in the implementation of this framework;

13. *Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, at its first session, adopt a decision containing a framework on capacity building that reaffirms the framework annexed to the present decision with additional reference to priority areas for capacity building relating to the implementation of the Kyoto Protocol.

*8th plenary meeting
10 November 2001*

Decision 5/CP.7

Implementation of Article 4, paragraphs 8 and 9, of the Convention (decision 3/CP.3 and Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol)¹

The Conference of the Parties,

Determined to protect the climate system for present and future generations,

Recalling its decisions 11/CP.1, 3/CP.3, 1/CP.4, 5/CP.4 and 12/CP.5,

Recalling further its decision 5/CP.6, containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,

Recognizing the specific needs and concerns of developing country Parties referred to in Article 4, paragraph 8, of the Convention, and the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9,

Recognizing that low-lying and other small island countries, countries with low-lying coastal, arid and semi-arid areas or areas liable to floods, drought and desertification, and developing countries with fragile mountainous ecosystems are particularly vulnerable to the adverse effects of climate change,

Recognizing the special difficulties of those countries, especially developing countries, whose economies are particularly dependent on fossil fuel production, use and exportation, as a consequence of action taken to limit greenhouse gas emissions,

Reaffirming 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 their common but differentiated responsibilities and respective capabilities, and that, accordingly, the developed country Parties should take the lead in combating climate change and the adverse effects thereof,

Reaffirming that the specific needs and special circumstances of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change, and of those Parties, especially developing country Parties, which would have to bear a disproportionate or abnormal burden under the Convention, should be given full consideration,

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

¹ Paragraphs 13, 17, and 18 of the draft decision contained in document FCCC/CP/2001/5/Add.1 have been omitted from the final text of this decision, since their content is subsumed in decisions 6/CP.7, 28/CP.7 and 29/CP.7 and by the conclusions contained in section V.D. of document FCCC/CP/2001/13/Add.4.

Acknowledging the efforts already made by Parties to meet the specific needs and concerns of developing country Parties, in particular the least developed countries, with regard to adaptation,

Acknowledging the need to sensitize policy makers and the general public in Parties not included in Annex I to the Convention to climate change and its effects, in accordance with Article 6(a) of the Convention,

Having considered the report,² in two parts, on the two workshops referred to in decision 12/CP.5,

Noting the many persistent uncertainties highlighted by those workshops, particularly with regard to the impact of response measures,

Insisting that the extent to which developing country Parties will effectively implement their commitments will depend on the effective implementation by the developed country Parties of their commitments relating to financial resources and transfer of technology and will also take fully into account that economic and social development and poverty eradication are the first and overriding priorities of the developing country Parties,

Acknowledging that the impact of the implementation of response measures will differ significantly from country to country, depending on each country's unique national circumstances, including the structure of its economy, trade and investment, natural resource endowment, social system, legal regime and population growth rate,

Recognizing that the least developed country Parties are among the most vulnerable to the adverse effects of climate change, and in particular that widespread poverty limits their adaptive capacity,

Acknowledging that the human, infrastructural and economic conditions of the least developed countries severely limit their capacities to participate effectively in the climate change process,

Noting that many of the least developed country Parties do not have the capacity to prepare and submit national communications in the foreseeable future,

I. ADVERSE EFFECTS OF CLIMATE CHANGE

1. *Asserts* the importance of a country-driven approach that allows developing country Parties to pursue the specific activities most appropriate to their unique national circumstances;
2. *Insists* that action related to adaptation follow an assessment and evaluation process, based on national communications and/or other relevant information, so as to prevent maladaptation and to ensure that adaptation actions are environmentally sound and will produce real benefits in support of sustainable development;

² FCCC/SB/2000/2.

3. *Encourages* Parties not included in Annex I to the Convention (non-Annex I Parties) to provide information, including in their national communications, and/or any other relevant information sources, on their specific needs and concerns arising from the adverse effects of climate change;
4. *Stresses* the need for Parties included in Annex II to the Convention (Annex II Parties) to provide detailed information, including in their national communications, on support programmes to meet the specific needs and circumstances of developing country Parties arising from the adverse effects of climate change;
5. *Encourages* Parties to exchange information on their experience regarding the adverse effects of climate change and on measures to meet their needs arising from these adverse effects;
6. *Underlines* the importance of the ongoing work of the secretariat in compiling and disseminating information on methods and tools for evaluating impacts and adaptation strategies;
7. *Decides* that the implementation of the following activities shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7) and other bilateral and multilateral sources:
 - (a) Information and methodologies:
 - (i) Improving data collection and information gathering, as well as their analysis, interpretation and dissemination to end-users;
 - (ii) Integrating climate change considerations into sustainable development planning;
 - (iii) Providing training in specialized fields relevant to adaptation such as climate and hydroclimate studies, geographical information systems, environmental impact assessment, modelling, integrated coastal zone management, soil and water conservation and soil restoration;
 - (iv) Strengthening existing and, where needed, establishing national and regional systematic observation and monitoring networks (sea-level rise, climate and hydrological monitoring stations, fire hazards, land degradation, floods, cyclones and droughts);
 - (v) Strengthening existing and, where needed, establishing national and regional centres and institutions for the provision of research, training, education and scientific and technical support in specialized fields relevant to climate change, utilizing information technology as much as possible;
 - (vi) Strengthening existing and, where needed, establishing national and regional research programmes on climate variability and climate change, oriented towards improving knowledge of the climate system at the regional level, and creating national and regional scientific capability;

- (vii) Supporting education and training in, and public awareness of, climate change related issues, for example through workshops and information dissemination;
- (b) Vulnerability and adaptation:
 - (i) Supporting enabling activities for vulnerability and adaptation assessment;
 - (ii) Enhancing technical training for integrated climate change impact and vulnerability and adaptation assessments across all relevant sectors, and environmental management related to climate change;
 - (iii) Enhancing capacity, including institutional capacity, to integrate adaptation into sustainable development programmes;
 - (iv) Promoting the transfer of adaptation technologies;
 - (v) Establishing pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects that will provide real benefits, and may be integrated into national policy and sustainable development planning, on the basis of information provided in the national communications from non-Annex I Parties and/or other relevant sources, and of the staged approach endorsed by the Conference of the Parties in its decision 11/CP.1;
 - (vi) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;
 - (vii) Strengthening existing and, where needed, establishing early warning systems for extreme weather events in an integrated and interdisciplinary manner to assist developing country Parties, in particular those most vulnerable to climate change;

8. *Decides* that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources:

(a) Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, *inter alia*, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management;

(b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention;

(c) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;

(d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;

9. *Decides* to consider, at its eighth session, the implementation of insurance-related actions to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change, based on the outcome of the workshops referred to in paragraphs 37 and 38 below;

10. *Requests* the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to review, at their subsequent sessions, the progress of the above-mentioned activities and make recommendations thereon to the Conference of the Parties at its eighth session;

II. IMPLEMENTATION OF ARTICLE 4, PARAGRAPH 9, OF THE CONVENTION

11. *Decides* to establish a work programme for the implementation of Article 4, paragraph 9, of the Convention, which would include activities covered under paragraphs 15 to 19 below, as well as the following:

(a) Strengthening existing and, where needed, establishing, national climate change secretariats and/or focal points to enable the effective implementation of the Convention and the Kyoto Protocol, in the least developed country Parties;

(b) Providing training, on an ongoing basis, in negotiating skills and language, where needed, to develop the capacity of negotiators from the least developed countries to participate effectively in the climate change process;

(c) Supporting the preparation of national adaptation programmes of action;

12. *Decides* that a least developed countries fund shall be established (in accordance with decision 7/CP.7), to be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties, to support the work programme for the least developed countries. This work programme shall include, *inter alia*, the preparation and implementation of national adaptation programmes of action;

13. *Invites* Annex II Parties to contribute financially to the programme mentioned in paragraph 11 above;

14. *Invites* Annex II Parties to support least developed country Parties for the following activities:

(a) Promotion of public awareness programmes to ensure the dissemination of information on climate change issues;

(b) Development and transfer of technology, particularly adaptation technology (in accordance with decision 4/CP.7);

(c) Strengthening of the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support implementation of national adaptation programmes of action;

15. *Decides* that support be provided for the development, by the least developed countries, of national adaptation programmes of action which will serve as a simplified and direct channel of communication of information relating to the vulnerabilities and adaptation needs of the least developed countries; the information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications;

16. *Decides* to consider, at its current session, the establishment of a least developed country group of experts, including its terms of reference, taking into account geographical balance, as well as the above-mentioned consideration of the terms of reference of the Consultative Group of Experts;

17. *Decides* to assess, at its current session, the status of implementation of Article 4, paragraph 9, of the Convention and to consider further action thereon;

III. IMPACT OF THE IMPLEMENTATION OF RESPONSE MEASURES

18. *Stresses* that Parties should take action consistent with the provisions of the Convention;

19. *Decides* that the implementation of the activities included in paragraphs 25 to 32 below shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7), the special climate change fund (in accordance with decision 7/CP.7), and other bilateral and multilateral sources:

20. *Encourages* non-Annex I Parties to provide information, in their national communications and/or other relevant reports, on their specific needs and concerns arising from the impact of the implementation of response measures;

21. *Requests* Annex II Parties to provide detailed information, in their national communications and/or any other relevant reports, on their existing and planned support programmes to meet the specific needs and concerns of developing country Parties arising from the impact of the implementation of response measures;

22. *Encourages* Annex I and non-Annex I Parties to cooperate in creating favourable conditions for investment in sectors where such investment can contribute to economic diversification;

23. *Requests* Annex II Parties to assist developing countries, in particular those most vulnerable to the impact of the implementation of response measures, in meeting their capacity-building needs for the implementation of programmes which address these impacts;
24. *Urges* Parties to consider appropriate technological options in addressing the impact of response measures, consistent with national priorities and indigenous resources;
25. *Encourages* Parties to cooperate in the technological development of non-energy uses of fossil fuels, and requests Annex II Parties to support developing country Parties to this end;
26. *Encourages* Parties to cooperate in the development, diffusion and transfer of less greenhouse gas-emitting advanced fossil-fuel technologies, and/or technologies relating to fossil fuels, that capture and store greenhouse gases, and requests Annex II Parties to facilitate the participation of the least developed countries and other non-Annex I Parties in this effort;
27. *Urges* Annex II Parties to provide financial and technological support for strengthening the capacity of developing country Parties identified in Article 4, paragraphs 8 and 9, of the Convention for improving efficiency in upstream and downstream activities relating to fossil fuels, taking into consideration the need to improve the environmental efficiency of these activities;
28. *Encourages* Annex II Parties to promote investment in, and to support and cooperate with, developing country Parties in the development, production, distribution and transport of indigenous, less greenhouse gas-emitting, environmentally sound,³ energy sources, including natural gas, according to the national circumstances of each of these Parties;
29. *Urges* Annex II Parties to provide support for research into, and the development and use of, renewable energy, including solar and wind energy, in developing country Parties;
30. *Decides* to consider, at its eighth session, the implementation of insurance-related actions to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change, based on the outcome of the workshops referred to in paragraphs 37 and 38 below;
31. *Requests* the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to consider, at their subsequent sessions, the response by Parties to the actions listed in paragraphs 25 to 32 above;

IV. FURTHER MULTILATERAL WORK RELATING TO ISSUES UNDER ARTICLE 4, PARAGRAPHS 8 AND 9 OF THE CONVENTION

32. *Requests* the secretariat to organize regional workshops in order to facilitate information exchange and integrated assessments, including for adaptation;

³ Throughout this decision, the term “environmentally sound” means “environmentally safe and sound” (Source: Agenda 21, chapter 1).

33. *Requests* the secretariat to organize a workshop, before the eighth session of the Conference of the Parties, on the status of modelling activities to assess the adverse effects of climate change and the impact of response measures already implemented on individual developing country Parties, including on how to enhance the participation of developing country experts in such efforts, and to report the results of this workshop to the Conference of the Parties at its eighth session. The terms of reference of this workshop will include assessments on approaches to minimize the adverse effects of response measures on developing countries;
34. *Requests* the secretariat to organize a workshop, to be held immediately before the workshop referred to in paragraph 38 below, and before the eighth session of the Conference of the Parties, on insurance and risk assessment in the context of climate change and extreme weather events, and to report the results of this workshop to the Conference of the Parties at its eighth session;
35. *Requests* the secretariat to organize a workshop, to be held immediately after the workshop referred to in paragraph 37 above, and before the eighth session of the Conference of the Parties, on insurance-related actions to address the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and from the impact of the implementation of response measures, and to report the results of this workshop to the Conference of the Parties at its eighth session;
36. *Requests* the secretariat to organize a workshop, before the ninth session of the Conference of the Parties, on possible synergies and joint action with the other multilateral environmental conventions and agreements, such as the United Nations Convention to Combat Desertification, and to report the results of this workshop to the Conference of the Parties at its ninth session;
37. *Requests* the secretariat to organize a workshop, before the ninth session of the Conference of the Parties, on the needs and options of non-Annex I Parties for economic diversification, and on support programmes by Annex II Parties to address these needs, and to report the results of this workshop to the Conference of the Parties at its ninth session;

Decision 7/CP.7

Funding under the Convention

The Conference of the Parties,

Recalling the relevant provisions of the United Nations Framework Convention on Climate Change, and in particular its Articles 4.1, 4.3, 4.4, 4.5, 4.7, 4.8, 4.9, 4.10 and Article 11,

Recalling also its decisions 11/CP.1 and 15/CP.1,

Recalling further its decision 5/CP.6, containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,

Noting that, by its decisions 2/CP.7, and 6/CP.7, provisions have been made for funding the implementation of capacity-building activities in Parties not included in Annex I, and that additional guidance has been given to the Global Environment Facility to that effect,

Welcoming the statements made at the second part of the sixth session by most Parties included in Annex II¹ on their willingness to commit themselves to provide funding,

Welcoming also the joint political declaration made by the European Community and its member States, together with Canada, Iceland, New Zealand, Norway and Switzerland, on their preparedness to contribute collectively €450 million / US\$ 410 million annually by 2005, with this level to be reviewed in 2008,

1. *Decides* that:

(a) There is a need for funding, including funding that is new and additional to contributions which are allocated to the climate change focal area of the Global Environment Facility and to multilateral and bilateral funding, for the implementation of the Convention;

(b) Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;

(c) In order to meet the commitments under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9, Parties included in Annex II, and other Parties included in Annex I that are in a position to do so, should provide funding for developing country Parties, through the following channels:

- (i) Increased Global Environment Facility replenishment;
- (ii) The special climate change fund to be established under this decision;
- (iii) The least developed countries fund to be established under this decision;
- (iv) Bilateral and multilateral sources;

¹ Joint political declaration by the European Community and its member States, together with Canada, Iceland, New Zealand, Norway and Switzerland, and a statement by Japan. For the text of the political declaration and the statement by Japan, see document FCCC/CP/2001/MISC.4.

(d) Appropriate modalities for burden sharing among the Parties included in Annex II need to be developed;

(e) Parties included in Annex II shall report on their financial contributions on an annual basis;

(f) The Conference of the Parties shall review the reports referred to in subparagraph (e) above on an annual basis;

2. *Decides also* that a special climate change fund shall be established to finance activities, programmes and measures, relating to climate change, that are complementary to those funded by the resources allocated to the climate change focal area of Global Environment Facility and by bilateral and multilateral funding, in the following areas:

(a) Adaptation, in accordance with paragraph 8 of decision 5/CP.7;

(b) Transfer of technologies, in accordance with decision 4/CP.7;

(c) Energy, transport, industry, agriculture, forestry and waste management;

(d) Activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies, in accordance with decision 5/CP.7;

3. *Decides further* that Parties included in Annex II, and other Parties included in Annex I that are in a position to do so, shall be invited to contribute to the fund, which shall be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties;

4. *Invites* the entity referred to in paragraph 3 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;

5. *Decides* to provide guidance to the entity referred to in paragraph 3 above on the modalities for operating this fund, including expedited access;

6. *Decides also* that a least developed countries fund shall be established, which shall be operated by an entity entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties, to support a work programme for the least developed countries. This work programme shall include, *inter alia*, national adaptation programmes of action in accordance with Section II, "Implementation of Article 4, paragraph 9, of the Convention", of decision 5/CP.7;

7. *Invites* the entity referred to in paragraph 6 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;

8. *Decides* to provide guidance to the entity referred to in paragraph 6 above on the modalities for operating this fund, including expedited access;

9. Welcomes the intention expressed by Canada to contribute C\$10 million, to enable the prompt start of this fund.

8th plenary meeting
10 November 2001

Decision 27/CP.7

Guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the least developed countries fund

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recalling its decision 5/CP.6 containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,

1. *Decides* to adopt the following initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund (LDC Fund), established under decisions 5/CP.7 and 7/CP.7, to support the work programme for the least developed countries, including, *inter alia*, the preparation and implementation of national adaptation programmes of action (NAPAs) referred to in paragraph 11 of decision 5/CP.7. The operating entity is requested:

(a) As a first step, to provide funding from the LDC Fund to meet the agreed full cost of preparing the NAPAs, given that the preparation of NAPAs will help to build capacity for the preparation of national communications under Article 12, paragraph 1, of the Convention;

(b) To ensure complementarity of funding between the LDC Fund and other funds with which the operating entity is entrusted;

(c) To ensure separation of the LDC Fund from other funds with which the operating entity is entrusted;

(d) To adopt simplified procedures and arrange for expedited access to the Fund by the least developed countries, while ensuring sound financial management;

(e) To ensure transparency in all steps relating to the operation of the Fund;

(f) To encourage the use of national and, where appropriate, regional experts;

(g) To adopt streamlined procedures for the operation of the Fund;

2. *Requests* the entity referred to in paragraph 1 above to include in its report to the Conference of the Parties the specific steps it has undertaken to implement the provisions of this decision;

3. *Decides* to consider and adopt further guidance to the entity referred to in paragraph 1 above, on the operation of the LDC Fund, at its eighth session.

*8th plenary meeting
10 November 2001*

Decision 28/CP.7

Guidelines for the preparation of national adaptation programmes of action

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recognizing further that many of the least developed country Parties do not have the capacity to prepare and submit national communications in the foreseeable future, or to convey their urgent and immediate needs in respect of their vulnerability and adaptation to the adverse effects of climate change,

Recognizing also that information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications, and would help to build capacity for addressing urgent and immediate adaptation needs, as well as for the preparation of national communications;

1. *Decides* to adopt the guidelines for the preparation of national adaptation programmes of action included in the annex to the present decision;
2. *Invites* Parties to make submissions with a view to improving the guidelines, by 15 July 2002, for consideration by the Subsidiary Body for Implementation at its seventeenth session;
3. *Decides* to review, and if necessary revise, the guidelines at its eighth session, taking into account the views submitted by Parties and the least developed countries expert group established under decision 29/CP.7;
4. *Invites* least developed country Parties to use the above-mentioned guidelines, in accordance with their national circumstances, in preparing their national adaptation programmes of action.

*8th plenary meeting
10 November 2001*

ANNEX

Guidelines for the preparation of national adaptation programmes of action

A. Introduction

1. National adaptation programmes of action (NAPAs) will communicate priority activities¹ addressing the urgent and immediate needs and concerns of the least developed countries (LDCs), relating to adaptation to the adverse effects of climate change.
2. The rationale for developing NAPAs rests on the low adaptive capacity of LDCs, which renders them in need of immediate and urgent support to start adapting to current and projected adverse effects of climate change. Activities proposed through NAPAs would be those whose further delay could increase vulnerability, or lead to increased costs at a later stage.
3. The NAPA will be presented in the form of a document specifying a list of priority activities, with a concise justification based on a tight set of criteria.
4. The NAPA document will not be an end in itself, but rather a means for the dissemination, by an LDC Party, of its proposed programme of action to address its urgent needs for adaptation. The priority activities identified through the NAPA process will be made available to the entity that will operate the LDC fund referred to in decision 7/CP.7, paragraph 6, and other sources of funding, for the provision of financial resources to implement these activities.

B. Objective of NAPAs

5. National adaptation programmes of action will serve as simplified and direct channels of communication for information relating to the urgent and immediate adaptation needs of the LDCs.

C. Characteristics of NAPAs

6. National adaptation programmes of action should:
 - (a) Be easy to understand;
 - (b) Be action-oriented and country-driven;
 - (c) Set clear priorities for urgent and immediate adaptation activities as identified by the countries.

¹ For the purposes of this annex, activities should include, *inter alia*, projects, integration into other activities, capacity building and policy reform.

D. Guiding elements

7. The preparation of NAPAs will be guided by the following:
- (a) A participatory process involving stakeholders, particularly local communities;
 - (b) A multidisciplinary approach;
 - (c) A complementary approach, building upon existing plans and programmes, including national action plans under the United Nations Convention to Combat Desertification, national biodiversity strategies and action plans under the Convention on Biological Diversity, and national sectoral policies;
 - (d) Sustainable development;
 - (e) Gender equality;
 - (f) A country-driven approach;
 - (g) Sound environmental management;
 - (h) Cost-effectiveness;
 - (i) Simplicity;
 - (j) Flexibility of procedures based on individual country circumstances.

E. Process

8. The preparation of the NAPA may proceed as follows:
- (a) The setting up of a national NAPA team: the national climate change focal point will set up a NAPA team composed of a lead agency and representatives of stakeholders including government agencies and civil society. This group would be constituted using an open and flexible process that will be inclusive and transparent. The NAPA team will be responsible for preparing the NAPA and coordinating the implementation of NAPA activities;
 - (b) The NAPA team will assemble a multidisciplinary team:
 - (i) To synthesize available information on adverse effects of climate change and coping strategies, which would be collated and reviewed, including the national strategies for sustainable development, the Programme of Action for the Least Developed Countries, the United Nations development assistance frameworks, and poverty reduction strategy papers, if available in the countries;
 - (ii) To conduct a participatory assessment of vulnerability to current climate variability and extreme weather events, and to assess where climate change is causing increases in associated risks;

- (iii) To identify key climate-change adaptation measures, based, to the extent possible, on vulnerability and adaptation assessment; such measures would also be responsive to needs identified under other relevant processes, such as the preparation of national action plans under the United Nations Convention to Combat Desertification and national biodiversity strategies and action plans under the Convention on Biological Diversity;
- (iv) To identify and prioritize country-driven criteria for selecting priority activities to address needs arising from the adverse effects of climate change, drawing on the criteria referred to in section F.4 below.

(c) Development of proposals for priority activities to address needs arising from the adverse effects of climate change: the national team will:

- (i) Organize a national and/or subnational consultative process to solicit inputs and proposal ideas in order to help develop a short list of potential NAPA activities. The national team would facilitate this consultative process, and would help in translating ideas into activities. This process will allow adequate dialogue between the national team and the public, with time allowed for public comment and revisions;
- (ii) Identify potential activities, which may include capacity building and policy reform, and which may be integrated into sectoral and other policies;
- (iii) Select and identify priority activities, based on the agreed criteria;
- (iv) Propose profiles of priority activities using the following format:
 - Title
 - Rationale/justification in relation to climate change, including sectors concerned
 - Description
 - Objectives and activities
 - Inputs
 - Short-term outputs
 - Potential long-term outcomes
 - Implementation
 - Institutional arrangement
 - Risks and barriers
 - Evaluation and monitoring
 - Financial resources

(d) The development of the NAPA document: the document will be prepared following the structure set out in section F below;

(e) Public review and revision: the NAPA document will undergo public review and be revised accordingly;

(f) The final review process: the NAPA document, including the profiles, will be reviewed by a team of government and civil society representatives, including the private sector, who may take into consideration any advice solicited from the Least Developed Countries Expert Group;

(g) National government endorsement of the NAPA: after the NAPA has been prepared, it will be submitted to the national government for endorsement.

(h) Public dissemination: the endorsed NAPA document will be made available to the public and to the UNFCCC secretariat.

F. Structure of NAPA document

1. Introduction and setting

9. This introductory section will include background information about the country that is relevant to the NAPA process. It will cover current characteristics, key environmental stresses, and how climate change and climate variability adversely affect biophysical processes and key sectors.

2. Framework for adaptation programme

10. This section will also provide an overview of climate variability and observed and projected climate change and associated actual and potential adverse effects of climate change. This overview will be based on existing and ongoing studies and research, and/or empirical and historical information as well as traditional knowledge.

11. This section will describe the NAPA framework and its relationship to the country's development goals, as described in subparagraph 8(b)(i) above, to make the framework consistent with socio-economic and development needs. In addition, it would also describe the goals, objectives and strategies of the NAPA, taking into account other plans and multilateral environmental agreements.

12. Where possible, a description of the potential barriers to implementation should also be included.

3. Identification of key adaptation needs

13. Based on this overview and framework, past and current practices for adaptation to climate change and climate variability will be identified as related to existing information regarding the country's vulnerability to the adverse effects of climate change, climate variability and extreme weather events, as well as long-term climate change. This section will explain how and to what extent activities may address specific vulnerabilities.

14. Given the actual and potential adverse effects of climate change described in section F.2 above, this section will identify relevant adaptation options including capacity building, policy reform, integration into sectoral policies and project-level activities.

4. Criteria for selecting priority activities

15. A set of locally-driven criteria will be used to select priority adaptation activities. These criteria should include, *inter alia*:

- (a) Level or degree of adverse effects of climate change;
- (b) Poverty reduction to enhance adaptive capacity;
- (c) Synergy with other multilateral environmental agreements;
- (d) Cost-effectiveness.

16. These criteria for prioritization will be applied to, *inter alia*:

- (a) Loss of life and livelihood;
- (b) Human health;
- (c) Food security and agriculture;
- (d) Water availability, quality and accessibility;
- (e) Essential infrastructure;
- (f) Cultural heritage;
- (g) Biological diversity;
- (h) Land-use management and forestry;
- (i) Other environmental amenities;
- (j) Coastal zones, and associated loss of land.

5. List of priority activities

17. This section will list priority climate-change adaptation activities that have been selected based on the criteria listed in section F.4 above.

18. For each of the selected priority activities a set of profiles will be developed for inclusion in the NAPA document. This could follow the format set out in subparagraph 8(c)(iv) above.

6. NAPA preparation process

19. This section will describe the NAPA development process, including the process of consultation, the methods for evaluation and monitoring, the institutional arrangements, and the mechanism of endorsement by the national government.

Decision 29/CP.7

Establishment of a least developed countries expert group

The Conference of the Parties,

Recalling its decision 5/CP.7,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recalling the provisions of paragraph 16 of its decision 5/CP.7, in which, *inter alia*, it decided that, at its current session, consideration should be given to the establishment of a least developed countries expert group, including its terms of reference, taking into account geographical balance,

1. *Decides* to establish a least developed countries expert group, pursuant to the terms of reference included in the annex to the present decision;
2. *Decides also* that, taking into account the unique circumstances of the least developed countries, the establishment of the group referred to in paragraph 1 above does not set a precedent for the establishment of similar groups for other categories of countries;
3. *Requests* the secretariat to facilitate the work of the least developed countries expert group in accordance with the terms of reference included in the annex to the present decision;
4. *Decides* to review, at its ninth session, the progress, need for continuation and terms of reference of the group, including the duration of the term of office of its members, and to adopt a decision thereon, taking into account the implementation needs identified in completed national adaptation programmes of action, as well as the experience of least developed country Parties which have started implementing their national adaptation programmes of action.

*8th plenary meeting
10 November 2001*

ANNEX

Terms of reference of the least developed countries expert group

1. The objective of the least developed countries expert group is to advise on the preparation and implementation strategy for national adaptation programmes of action (NAPAs), which would meet the urgent and immediate adaptation needs of the least developed countries (LDCs). This includes the provision of technical advice relating to the identification of relevant data and information to be synthesized as part of an integrated assessment. The expert group will also provide advice on capacity-building needs for LDCs in support of the preparation and implementation of NAPAs. The expert group will coordinate and collaborate with other relevant efforts relating to adaptation activities for LDCs, including within the greater development context. The expert group will not be directly involved in the execution of identified activities and projects.
2. The group shall consist of 12 experts having recognized competence and appropriate expertise to assist in the development of NAPAs. The group shall consist of five experts from African LDC Parties, two experts from Asian LDC Parties, two experts from small island developing States which are LDC Parties, and three experts from Annex II Parties. At least one selected LDC expert and at least one selected expert from Annex II Parties shall also be a member of the Consultative Group of Experts on National Communications from Parties not included in Annex I. The experts will be selected by the Parties from their respective regions or groups, and shall have expertise in vulnerability and adaptation assessment. The group may draw upon additional expertise as deemed necessary.
3. The expert group shall conduct its work until the ninth session of the Conference of the Parties, subject to a decision by the Conference of the Parties pursuant to paragraph 4 of decision 29/CP.7 above.
4. Members of the group shall serve in their personal capacity and shall have no pecuniary or financial interest in the issues under consideration by the group.
5. The group shall elect annually a chairperson, a vice-chairperson and two rapporteurs from amongst its LDC members.
6. The chairperson, or a representative of the expert group, shall attend meetings of the subsidiary bodies and the Conferences of the Parties.
7. The group shall convene twice each year, as appropriate and, if possible, the secretariat will organize one meeting in 2002 of the expert group back-to-back with the Consultative Group of Experts on National Communications from Parties not included in Annex I, in order to establish a link on issues relating to adaptation.
8. The group shall report on its work and shall propose a programme of work for the remainder of its term, for consideration at the sixteenth session of the Subsidiary Body for Implementation, and shall report on its work to the Subsidiary Body for Implementation at its eighteenth and nineteenth sessions.

9. The group shall be mandated as follows:

(a) To provide technical guidance and advice on the preparation and on the implementation strategy of NAPAs, including the identification of possible sources of data and its subsequent application and interpretation, upon request by LDC Parties;

(b) To serve in an advisory capacity to the LDCs, for the preparation and strategy for implementation of NAPAs through, *inter alia*, workshops, upon request by LDC Parties;

(c) To advise on capacity-building needs for the preparation and implementation of NAPAs and to provide recommendations, as appropriate, taking into account the Capacity Development Initiative of the Global Environment Facility and other relevant capacity-building initiatives;

(d) To facilitate the exchange of information and to promote regional synergies, and synergies with other multilateral environmental conventions, in the preparation and in the implementation strategy of NAPAs;

(e) To advise on the mainstreaming of NAPAs into regular development planning in the context of national strategies for sustainable development.

10. The group shall also be mandated to provide input into the review, and if necessary revision, of NAPA guidelines at the eighth session of the Conference of the Parties.

11. The secretariat shall support the implementation of the above-mentioned activities and facilitate the preparation of the group's relevant reports, which will be made available to the Parties for consideration at subsequent sessions of the subsidiary bodies.

Decision 8/CP.8**Guidance to an entity entrusted with the operation of the financial mechanism of the Convention,
for the operation of the Least Developed Countries Fund**

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Reaffirming the need for the adoption and operationalization of simplified procedures and expedited access to the Least Developed Countries Fund by the least developed country Parties,

Reaffirming also the need to ensure complementarity of funding between the Least Developed Countries Fund and other funds with which the entity entrusted with the operation of the financial mechanism of the Convention is entrusted,

Welcoming the arrangements made by the Global Environment Facility as the entity entrusted with the operation of the financial mechanism of the Convention, for operationalizing the Least Developed Countries Fund,

Recalling its decisions 5/CP.7 and 7/CP.7 establishing the Least Developed Countries Fund to support the programme of work for least developed countries,

Welcoming the progress in mobilizing voluntary contributions to the Least Developed Countries Fund,

Recognizing the specific needs of least developed countries with regard to training in negotiating skills and language,

Recalling its decision 27/CP.7 containing the initial guidance for the operation of the Least Developed Countries Fund, and 29/CP.7 mandating the Least Developed Countries Expert Group to serve in an advisory capacity to the least developed countries on the preparation, and strategy for implementation, of national adaptation programmes of action, through, inter alia, workshops, upon request by least developed countries Parties,

1. *Decides* to adopt the following additional guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund established under decisions 5/CP.7 and 7/CP.7;
2. *Requests* the Global Environment Facility, including its implementing agencies, to ensure the speedy release and disbursement of funds and timely assistance for the preparation of national adaptation programmes of action;
3. *Requests* the entity in its capacity referred to in paragraph 1 above to support, where sufficient voluntary funding has not been provided from bilateral sources, the organization, under the guidance of the Least Developed Countries Expert Group, of four regional workshops in 2003 (one in Africa for francophone least developed countries, one in Africa for anglophone least developed countries, one in Asia, and one in a small island developing State) to advise least developed countries in order to advance the process for preparing national adaptation programmes of action in these regions;

4. *Requests* the entity referred to in paragraph 1 above to undertake the necessary arrangements for the implementation of the above-mentioned guidance, and to include in its report to the Conference of the Parties at its ninth session the specific steps it has undertaken to implement this guidance;

5. *Encourages* Annex II Parties, and Parties included in Annex I that are in a position to do so, to address the needs of least developed countries with regard to training in negotiating skills and language through bilateral and other sources of funding;

6. *Invites* all Parties, and the Least Developed Countries Expert Group, and the Global Environment Facility and its implementing and executing agencies, to submit to the secretariat, by 15 April 2003, views on strategies for implementing national adaptation programmes of action and ways and means to address the various elements of the least developed countries work programme, in order to meet the urgent and immediate adaptation needs of least developed countries, for consideration by Parties at the eighteenth session of the Subsidiary Body for Implementation;

7. *Requests* the secretariat to prepare a compilation of views received pursuant to paragraph 6 above;

8. *Decides* to consider providing further guidance to an entity entrusted with the operation of the financial mechanism of the Convention for the operation of the Least Developed Countries Fund, at its ninth session.

*8th plenary meeting
1 November 2002*

Decision 9/CP.8

Review of the guidelines for the preparation of national adaptation programmes of action

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries, referred to in Article 4, paragraph 9, of the Convention,

Recalling its decision 28/CP.7, containing guidelines for the preparation of national adaptation programmes of action,

Having considered the submissions from Parties,¹ and from the Least Developed Countries Expert Group,² on this issue,

Having considered the progress report of the Least Developed Countries Expert Group,³

1. *Decides* that a revision of the guidelines for the preparation of national adaptation programmes of action is not necessary at this time;

2. *Invites* the least developed country Parties to use, as appropriate, the annotations to the guidelines for the preparation of national adaptation programmes of action prepared by the Least Developed Countries Expert Group;

3. *Decides* to review, and if necessary revise, the guidelines for the preparation of national adaptation programmes of action at its ninth session, based on the experience of least developed country Parties in the preparation of national adaptation programmes of action, and on the outcome of the work of the Least Developed Countries Expert Group.

*8th plenary meeting
1 November 2002*

¹ FCCC/SBI/2002/MISC.1 and Add.1.

² FCCC/SBI/2002/INF.14.

³ FCCC/SBI/2002/INF.16.

Decision 6/CP.9**Further guidance for the operation of the Least Developed Countries Fund**

The Conference of the Parties,

Recalling its decisions 5/CP.7, 7/CP.7, 27/CP.7, 28/CP.7 and 8/CP.8,

Noting that the Least Developed Countries Fund supports the implementation of the Convention, contributes to the achievement of the World Summit on Sustainable Development and the Millennium Development Goals, and contributes to the integration of climate change considerations into development activities,

Noting also that the Least Developed Countries Fund will contribute to the enhancement of adaptive capacity to address the adverse effects of climate change, including, as appropriate, in the context of national strategies for sustainable development,

Noting also with appreciation efforts by the Global Environment Facility in developing expedited procedures for funding the preparation of national adaptation programmes of action and for its efforts to mobilize resources for the Least Developed Countries Fund,

1. *Decides* to adopt the further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund, as set out in paragraphs 2 and 3 below;

2. *Requests* the entity to support the implementation of national adaptation programmes of action as soon as possible after their completion;

3. *Requests* the entity to take into account, inter alia, the following elements when developing operational guidelines for funding of the implementation of national adaptation programmes of action:

(a) Ensuring a country-driven approach, in line with national priorities, which ensures cost-effectiveness and complementarity with other funding sources;

(b) Equitable access by least developed country Parties to funding for the implementation of national adaptation programmes of action;

(c) Criteria for supporting activities on an agreed full-cost basis, taking account of the level of funds available;

(d) Guidelines for expedited support;

(e) Urgency and immediacy of adapting to the adverse effects of climate change;

(f) Prioritization of activities;

4. *Requests* Parties to make completed national adaptation programmes of action available to the Global Environment Facility and to the secretariat for further dissemination to the Parties;

5. *Requests* the entity to include in its report to the Conference of the Parties information on the specific steps it has undertaken to implement this decision as well as the preparation of national adaptation programmes of action;

6. *Decides* to assess progress in the implementation of this decision and consider the adoption of further guidance at its tenth session.

9th plenary meeting

12 December 2003

Decision 7/CP.9

Extension of the mandate of the Least Developed Countries Expert Group

The Conference of the Parties,

Recalling its decisions 5/CP.7 and 29/CP.7,

Recognizing the specific needs and special situations of the least developed countries under Article 4, paragraph 9, of the Convention,

Having considered the progress report of the Least Developed Countries Expert Group,

1. *Decides* to extend the mandate of the Least Developed Countries Expert Group, under the terms of reference adopted by decision 29/CP.7;
2. *Decides* that new experts may be nominated to the Least Developed Countries Expert Group, or existing members of the group may continue in office, as determined by the respective regions or groups;
3. *Invites* Parties included in Annex II to the Convention to contribute funding towards supporting the activities of the Least Developed Countries Expert Group;
4. *Requests* the secretariat to continue to facilitate the work of the Least Developed Countries Expert Group;
5. *Decides* to review, at its eleventh session, the progress, need for continuation and terms of reference of the group, and to adopt a decision thereon.

*9th plenary meeting
12 December 2003*

Decision 8/CP.9

Review of the guidelines for the preparation of national adaptation programmes of action

The Conference of the Parties,

Recalling its decisions 28/CP.7 and 9/CP.8,

Recognizing the specific needs and special situations of the least developed countries under Article 4, paragraph 9, of the Convention,

Having considered the progress report of the Least Developed Countries Expert Group,

1. *Decides* that a revision of the guidelines for the preparation of national adaptation programmes of action is not necessary at this time.

*9th plenary meeting
12 December 2003*

Decision 4/CP.10

Work of the Least Developed Countries Expert Group

The Conference of the Parties,

Recalling its decisions 29/CP.7 and 7/CP.9,

Having considered the progress report of the Least Developed Countries Expert Group,

Noting with appreciation the work performed by the Least Developed Countries Expert Group during its current term,

1. *Requests* the Least Developed Countries Expert Group to prepare possible elements to be considered on the role of the Group in support of the implementation of national adaptation programmes of action as a new mandate and to report thereon to the Subsidiary Body for Implementation at its twenty-third session (November–December 2005);

2. *Requests* the Least Developed Countries Expert Group, in consultation with least developed country Parties, to include in its report to the twenty-third session of the Subsidiary Body for Implementation information on the potential technical and financial difficulties that least developed country Parties may have in the implementation of national adaptation programmes of action.

*6th plenary meeting
17–18 December 2004*

Decision 3/CP.11

Further guidance for the operation of the Least Developed Countries Fund¹

The Conference of the Parties,

Recalling Article 4, paragraph 9, of the Convention,

Recalling its decision 6/CP.9,

1. *Decides* that the operation of the Least Developed Countries Fund should be consistent with the following principles:
 - (a) A country-driven approach, supporting the implementation of urgent and immediate activities identified in national adaptation programmes of action, as a way of enhancing adaptive capacity
 - (b) Supporting the implementation of activities identified in national adaptation programmes of action, and of other elements of the least developed countries work programme identified in decision 5/CP.7, in order to promote the integration of adaptation measures in national development and poverty reduction strategies, plans or policies, with a view to increasing resilience to the adverse effects of climate change
 - (c) Supporting a learning-by-doing approach;
2. *Decides* that full-cost funding shall be provided by the Least Developed Countries Fund to meet the additional costs² of activities to adapt to the adverse effects of climate change as identified and prioritized in the national adaptation programmes of action;
3. *Requests* the Global Environment Facility to develop a co-financing scale for supporting activities identified in national adaptation programmes of action, taking into account the circumstances of least developed countries;
4. *Decides* that activities, identified in national adaptation programmes of action, that are not supported through full-cost funding as described in paragraph 2 above, will be co-financed through the scale referred to in paragraph 3 above;
5. *Requests* the Global Environment Facility to develop flexible modalities that ensure balanced access to resources given the level of funds available, in accordance with decision 6/CP.9;
6. *Invites* Parties included in Annex II to the Convention to continue contributing to the Least Developed Countries Fund for the implementation of national adaptation programmes of action;
7. *Decides* that, given the unique circumstances of the Least Developed Countries Fund, the operation of the fund shall not set a precedent for other funding arrangements under the Convention;
8. *Requests* the Subsidiary Body for Implementation to review, at its twenty-sixth session (May 2007), the experiences gained from the implementation of national adaptation programmes of action, including those in accessing funds from the Least Developed Countries Fund;

¹ See FCCC/SBI/2005/10, paragraph 44.

² For the purpose of this decision, “additional costs” means the costs imposed on vulnerable countries to meet their immediate adaptation needs.

9. *Requests* the Global Environment Facility to ensure the separation of the administration and activities of the Trust Fund of the Global Environment Facility and the Least Developed Countries Fund;

10. *Requests* the Global Environment Facility to include, in its reports to the Conference of the Parties, information on the specific steps it has taken to implement this decision, for consideration by the Conference of the Parties at subsequent sessions;

11. *Decides* to assess progress in the implementation of this decision and consider the adoption of further guidance, as appropriate, at its fourteenth session (December 2008).

*8th plenary meeting
9–10 December 2005*

Decision 4/CP.11

Extension of the mandate of the Least Developed Countries Expert Group

The Conference of the Parties,

Recalling its decisions 5/CP.7, 29/CP.7, 7/CP.9 and 4/CP.10,

Recognizing the specific needs and special situations of the least developed countries under Article 4, paragraph 9, of the Convention,

Welcoming the technical papers of the Least Developed Countries Expert Group,

Having considered the progress report of the Least Developed Countries Expert Group contained in document FCCC/SBI/2005/20,

Expressing its appreciation to the Least Developed Countries Expert Group for its good work in supporting the preparation of national adaptation programmes of action,

Noting with appreciation the support that the secretariat has provided to the Least Developed Countries Expert Group,

1. *Decides* to extend the mandate of the Least Developed Countries Expert Group under the terms of reference adopted by decision 29/CP.7;
2. *Requests* the Least Developed Countries Expert Group, serving in an advisory capacity to the least developed countries, to develop a work programme that includes implementation of national adaptation programmes of action, for consideration by the Subsidiary Body for Implementation at its twenty-fourth session (May 2006);
3. *Decides* that, consistent with decision 7/CP.9, paragraph 2, new experts may be nominated to the Least Developed Countries Expert Group, or existing members of the group may continue in office, as determined by the respective regions or groups;
4. *Requests* the secretariat to continue to facilitate the work of the Least Developed Countries Expert Group;
5. *Decides* to review, at its thirteenth session (December 2007), the progress, need for continuation and terms of reference of the group, and to adopt a decision thereon.

*8th plenary meeting
9–10 December 2005*

Decision 8/CP.13

Extension of the mandate of the Least Developed Countries Expert Group

The Conference of the Parties,

Recalling decisions 5/CP.7, 29/CP.7, 7/CP.9, 4/CP.10 and 4/CP.11,

Recognizing the specific needs and special situation of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Having considered the twelfth report on the work of the Least Developed Countries Expert Group¹ and the report of the Least Developed Countries Expert Group stocktaking meeting on the progress made by Parties in the preparation and implementation of national adaptation programmes of action,²

Expressing its appreciation to the Least Developed Countries Expert Group for its good work in implementing its work programme for 2006–2007, supporting the preparation of national adaptation programmes of action and of conducting the stocktaking meeting,

1. *Decides* to extend the mandate of the Least Developed Countries Expert Group under the terms of reference adopted by decision 29/CP.7;
2. *Requests* the Least Developed Countries Expert Group, serving in an advisory capacity to the least developed countries, to develop a work programme that contains its objectives, activities and expected outcomes and takes into account the results of the stocktaking meeting and the Nairobi work programme on impacts, vulnerability and adaptation to climate change, for consideration by the Subsidiary Body for Implementation at its twenty-eighth session;
3. *Decides* that, consistent with decision 7/CP.9, paragraph 2, new experts may be nominated to the Least Developed Countries Expert Group, or existing members of the group may continue in office, as determined by the respective regions or groups;
4. *Decides further* that the Least Developed Countries Expert Group, taking into account the initiation of implementation of the national adaptation programmes of action, may invite, when deemed necessary, the Global Environment Facility and its agencies to its meetings;
5. *Requests* the secretariat to continue to facilitate the work of the Least Developed Countries Expert Group;
6. *Decides* to review, at its sixteenth session, the progress, need for continuation and terms of reference of the group, and to adopt a decision thereon.

*8th plenary meeting
14–15 December 2007*

¹ FCCC/SBI/2007/31.

² FCCC/SBI/2007/32.

Decision 5/CP.14

Further guidance for the operation of the Least Developed Countries Fund

The Conference of the Parties,

Recalling Article 4, paragraph 9, of the Convention,

Also recalling decisions 6/CP.9 and 3/CP.11,

Further recalling the least developed countries work programme as defined in decision 5/CP.7,

Noting the importance of the national adaptation programme of action process as a first step towards the scaling up of adaptation and integration of climate change into national development plans,

Recognizing the value of lessons learned from the preparation and implementation of the national adaptation programmes of action to the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, in particular its work on action on adaptation and financing,

Recognizing also that 39 least developed country Parties have submitted their national adaptation programmes of action,

Recognizing further that the least developed countries have initiated the implementation of national adaptation programmes of action,

Reiterating the need to implement national adaptation programmes of action as soon as possible after completion,

Taking note of the efforts by the Global Environment Facility to improve access to the Least Developed Countries Fund for implementation of national adaptation programmes of action,

Acknowledging that least developed country Parties experience challenges in accessing funding for the implementation of national adaptation programme of action project activities,

1. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention operating the Least Developed Countries Fund:
 - (a) To work with its agencies to improve communication with least developed country Parties and to speed up the process through, for instance, establishing a time frame within which least developed country Parties can access funding and other support for the preparation and implementation of projects identified in national adaptation programmes of action;
 - (b) To assist, as appropriate, and in collaboration with its agencies and the Least Developed Countries Expert Group, the remaining least developed country Parties that have not submitted their national adaptation programmes of action, in completing and submitting their national adaptation programmes of action as soon as possible;
2. *Also requests* the Global Environment Facility, in parallel to supporting the ongoing implementation of the national adaptation programmes of action, to facilitate the implementation of the remaining elements of the least developed countries work programme;
3. *Invites* the Global Environment Facility to inform its agencies of relevant provisions of the Convention and decisions of the Conference of the Parties on the operation of the Least Developed Countries Fund, in order to allow the agencies to take these into account in fulfilling their Global Environment Facility obligations;

4. *Invites* Parties and relevant organizations to submit to the secretariat, by 17 August 2010, information on the preparation and implementation of national adaptation programmes of action, including on accessing funds from the Least Developed Countries Fund for compilation by the secretariat as a miscellaneous document, for consideration by the Subsidiary Body for Implementation at its thirty-third session;

5. *Requests* the secretariat to prepare a synthesis report on the national adaptation programme of action process including preparation and implementation, taking into account information from the Global Environment Facility and its agencies, the submissions referred to in paragraph 4 above, reports of the Least Developed Countries Expert Group and other relevant sources of information, for consideration by the Subsidiary Body for Implementation at its thirty-third session;

6. *Invites* the Global Environment Facility and its agencies to consider the views of, and any concerns expressed by, Parties regarding their experiences with the Global Environment Facility and its agencies in relation to the provision of financial and technical support for the preparation and implementation of national adaptation programmes of action and related elements of the least developed countries work programme, as contained in documents FCCC/SBI/2007/32, FCCC/SBI/2008/14 and FCCC/SBI/2008/MISC.8;

7. *Requests* the secretariat to mobilize relevant organizations to assist in making national adaptation programme of action documents and related information materials available in multiple languages, upon request by least developed country Parties;

8. *Invites* the Global Environment Facility to raise awareness of the need for adequate and predictable resources under the Least Developed Countries Fund to allow full implementation of the least developed countries work programme, in particular national adaptation programmes of action;

9. *Also invites* Parties to continue contributing to the Least Developed Countries Fund for the implementation of all elements of the least developed countries work programme;

10. *Requests* the Subsidiary Body for Implementation to review, at its thirty-third session, the experiences gained from implementing the least developed countries work programme, including those in accessing funds from the Least Developed Countries Fund;

11. *Also requests* the Global Environment Facility to include, in its reports to the Conference of the Parties, information on steps it has taken to implement this decision, for consideration by the Conference of the Parties at subsequent sessions;

12. *Decides* to assess progress made in implementing this decision and to consider the adoption of further guidance, as appropriate, at its sixteenth session.

*7th plenary meeting
12 December 2008*

Decision 5/CP.16

Further guidance for the operation of the Least Developed Countries Fund

The Conference of the Parties,

Recalling Article 4, paragraph 9, of the Convention,

Also recalling decisions 6/CP.9, 3/CP.11 and 5/CP.14,

Further recalling the least developed countries work programme, as defined in decision 5/CP.7,

Noting the importance of updating and revising the national adaptation programme of action process over time,

Further noting with appreciation the contributions of some Parties to the Least Developed Countries Fund,

Noting the positive efforts made by the Global Environment Facility and its agencies to facilitate access to funding under the Least Developed Countries Fund,

Also noting the increasing need of least developed country Parties to implement the urgent and immediate adaptation activities identified in their national adaptation programmes of action,

Reiterating the need to implement national adaptation programmes of action as soon as possible after completion,

1. *Reiterates* its request to the Global Environment Facility, as an operating entity of the financial mechanism of the Convention operating the Least Developed Countries Fund, in parallel to supporting the ongoing implementation of national adaptation programmes of action, to facilitate the implementation of the remaining elements of the least developed countries work programme;
2. *Also reiterates* its request to the Global Environment Facility to work with its agencies to improve communication with least developed country Parties and to speed up the process by, for instance, establishing a time frame within which least developed country Parties can access funding and other support for the preparation and implementation of projects identified in their national adaptation programmes of action;
3. *Requests* the Global Environment Facility to provide funding from the Least Developed Countries Fund to least developed country Parties, upon request, to enable the update of their national adaptation programmes of action with a view to further improving their quality, to facilitate the integration of least developed countries adaptation actions into development planning and to reflect increased adaptation knowledge and changed priorities in the countries;
4. *Invites* Parties included in Annex II to the Convention to continue contributing, and other Parties in a position to do so to contribute, to the Least Developed Countries Fund for the implementation of the least developed countries work programme;
5. *Also invites* Parties and relevant organizations to submit to the secretariat, by 1 August 2012, information on their experience with the implementation of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, and in accessing funds from the Least Developed

Countries Fund, for compilation by the secretariat into a miscellaneous document for consideration by the Subsidiary Body for Implementation at its thirty-seventh session;

6. *Requests* the secretariat to prepare a synthesis report on the progress made in the implementation of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, taking into account information from the Global Environment Facility and its agencies, the submissions referred to in paragraph 5 above, reports of the Least Developed Countries Expert Group and other relevant sources of information, for consideration by the Subsidiary Body for Implementation at its thirty-seventh session;

7. *Also requests* the Subsidiary Body for Implementation to review, at its thirty-seventh session, the experiences of the least developed countries with the implementation of the least developed countries work programme, including the updating and implementation of national adaptation programmes of action, and in accessing funds from the Least Developed Countries Fund, on the basis of the submissions referred to in paragraph 5 above and the synthesis report referred to in paragraph 6 above;

8. *Further requests* the Global Environment Facility to include, in its reports to the Conference of the Parties, information on specific steps it has taken to implement this decision, for consideration by the Conference of Parties at its subsequent sessions;

9. *Decides* to assess progress made in the implementation of this decision and to consider the adoption of further guidance, as appropriate, at its eighteenth session.

*9th plenary meeting
10–11 December 2010*

Decision 6/CP.16

Extension of the mandate of the Least Developed Countries Expert Group

The Conference of the Parties,

Recalling decisions 5/CP.7, 29/CP.7, 7/CP.9, 4/CP.10, 4/CP.11 and 8/CP.13,

Recognizing the specific needs and special situation of the least developed countries under Article 4, paragraph 9, of the Convention,

Having considered the reports on the seventeenth and eighteenth meetings of the Least Developed Countries Expert Group, the report on possible elements for a future mandate for the group and the report on the training workshops on the implementation of national adaptation programmes of action,¹

Expressing its appreciation to the Least Developed Countries Expert Group for its good work in implementing its work programme for 2008–2010, supporting the preparation and implementation of national adaptation programmes of action and conducting regional training workshops on the implementation of national adaptation programmes of action,

Noting that the least developed country Parties continue to require technical support for the preparation, update and implementation of their national adaptation programmes of action,

1. *Decides* to extend the mandate of the Least Developed Countries Expert Group under its current terms of reference;²

2. *Also decides* that the Least Developed Countries Expert Group should be mandated to provide technical guidance and advice on:

(a) The revision and update of national adaptation programmes of action, to further improve their quality, to facilitate the integration of adaptation actions of least developed country Parties into development planning and to reflect increased adaptation knowledge and changed priorities in the countries, upon request by least developed country Parties;

(b) The identification of medium- and long-term adaptation needs, their integration into development planning and the implementation of identified adaptation activities;

(c) Strengthening gender-related considerations and considerations regarding vulnerable communities within least developed country Parties;

(d) The implementation of the elements of the least developed countries work programme other than the preparation and implementation of national adaptation programmes of action that are relevant to the expertise of the Least Developed Countries Expert Group;

3. *Requests* the Least Developed Countries Expert Group to develop a two-year rolling programme of work for consideration by the Subsidiary Body for Implementation at its first sessional meeting of each year, and to report on its work to the Subsidiary Body for Implementation at each of its sessions;

¹ FCCC/SBI/2010/5, FCCC/SBI/2010/26, FCCC/SBI/2010/12 and FCCC/SBI/2010/15.

² Decisions 29/CP.7, 7/CP.9, 4/CP.11 and 8/CP.13.

4. *Decides* that the membership of the Least Developed Countries Expert Group should be expanded from 12 to 13 members in order to include one additional member from a least developed country Party;
5. *Requests* the Least Developed Countries Expert Group to engage a wide range of organizations to support the implementation of its work programme;
6. *Decides* that, consistent with decision 7/CP.9, paragraph 2, new experts may be nominated to the Least Developed Countries Expert Group, or existing members of the group may continue in office, as determined by the respective regions or groups;
7. *Requests* the secretariat to continue to facilitate the work of the Least Developed Countries Expert Group;
8. *Decides* to review, at its twenty-first session, the progress, need for continuation and terms of reference of the Least Developed Countries Expert Group, and to adopt a decision thereon;
9. *Also decides* on the following actions and steps necessary for the Subsidiary Body for Implementation to initiate the review at its forty-second session, with a view to complete the review referred to in paragraph 8 above at its twenty-first session:
 - (a) To request the Least Developed Countries Expert Group to convene a meeting, including Parties, the Global Environment Facility and its agencies, and other relevant organizations, with the assistance of the secretariat, to take stock of its work, before June 2015;
 - (b) To invite Parties to submit to the secretariat, by 1 February 2015, their views on the work of the Least Developed Countries Expert Group, for compilation by the secretariat into a miscellaneous document for consideration by the Subsidiary Body for Implementation at its forty-second session;
 - (c) To request the secretariat to prepare a report on the stocktaking meeting for consideration by the Subsidiary Body for Implementation at its forty-second session, as input to the review;
 - (d) To request the secretariat to prepare a synthesis report on the progress, need for continuation and terms of reference of the Least Developed Countries Expert Group, based on the submissions from Parties, reports of the Least Developed Countries Expert Group, the report on the stocktaking meeting and other relevant information, for consideration by the Subsidiary Body for Implementation at its forty-second session, as input to the review.

9th plenary meeting
10–11 December 2010

**UNITED NATIONS FRAMEWORK CONVENTION
ON CLIMATE CHANGE**



UNITED NATIONS
1992

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UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

The Parties to this Convention,

Acknowledging that change in the Earth's climate and its adverse effects are a common concern of humankind,

Concerned that human activities have been substantially increasing the atmospheric concentrations of greenhouse gases, that these increases enhance the natural greenhouse effect, and that this will result on average in an additional warming of the Earth's surface and atmosphere and may adversely affect natural ecosystems and humankind,

Noting that the largest share of historical and current global emissions of greenhouse gases has originated in developed countries, that per capita emissions in developing countries are still relatively low and that the share of global emissions originating in developing countries will grow to meet their social and development needs,

Aware of the role and importance in terrestrial and marine ecosystems of sinks and reservoirs of greenhouse gases,

Noting that there are many uncertainties in predictions of climate change, particularly with regard to the timing, magnitude and regional patterns thereof,

Acknowledging that the global nature of climate change calls for the widest possible cooperation by all countries and their participation in an effective and appropriate international response, in accordance with their common but differentiated responsibilities and respective capabilities and their social and economic conditions,

Recalling the pertinent provisions of the Declaration of the United Nations Conference on the Human Environment, adopted at Stockholm on 16 June 1972,

Recalling also that States have, in accordance with the Charter of the United Nations and the principles of international law, the sovereign right to exploit their own resources pursuant to their own environmental and developmental policies, and the responsibility to ensure that activities within their jurisdiction or control do not cause damage to the environment of other States or of areas beyond the limits of national jurisdiction,

Reaffirming the principle of sovereignty of States in international cooperation to address climate change,

Recognizing that States should enact effective environmental legislation, that environmental standards, management objectives and priorities should reflect the environmental and developmental context to which they apply, and that standards applied by some countries may be inappropriate and of unwarranted economic and social cost to other countries, in particular developing countries,

Recalling the provisions of General Assembly resolution 44/228 of 22 December 1989 on the United Nations Conference on Environment and Development, and resolutions 43/53 of 6 December 1988, 44/207 of 22 December 1989, 45/212 of 21 December 1990 and 46/169 of 19 December 1991 on protection of global climate for present and future generations of mankind,

Recalling also the provisions of General Assembly resolution 44/206 of 22 December 1989 on the possible adverse effects of sea-level rise on islands and coastal areas, particularly low-lying coastal areas and the pertinent provisions of General Assembly resolution 44/172 of 19 December 1989 on the implementation of the Plan of Action to Combat Desertification,

Recalling further the Vienna Convention for the Protection of the Ozone Layer, 1985, and the Montreal Protocol on Substances that Deplete the Ozone Layer, 1987, as adjusted and amended on 29 June 1990,

Noting the Ministerial Declaration of the Second World Climate Conference adopted on 7 November 1990,

Conscious of the valuable analytical work being conducted by many States on climate change and of the important contributions of the World Meteorological Organization, the United Nations Environment Programme and other organs, organizations and bodies of the United Nations system, as well as other international and intergovernmental bodies, to the exchange of results of scientific research and the coordination of research,

Recognizing that steps required to understand and address climate change will be environmentally, socially and economically most effective if they are based on relevant scientific, technical and economic considerations and continually re-evaluated in the light of new findings in these areas,

Recognizing that various actions to address climate change can be justified economically in their own right and can also help in solving other environmental problems,

Recognizing also the need for developed countries to take immediate action in a flexible manner on the basis of clear priorities, as a first step towards comprehensive response strategies at the global, national and, where agreed, regional levels that take into account all greenhouse gases, with due consideration of their relative contributions to the enhancement of the greenhouse effect,

Recognizing further that low-lying and other small island countries, countries with low-lying coastal, arid and semi-arid areas or areas liable to floods, drought and desertification, and developing countries with fragile mountainous ecosystems are particularly vulnerable to the adverse effects of climate change,

Recognizing the special difficulties of those countries, especially developing countries, whose economies are particularly dependent on fossil fuel production, use and exportation, as a consequence of action taken on limiting greenhouse gas emissions,

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

Recognizing that all countries, especially developing countries, need access to 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 possibilities for achieving greater energy efficiency and for controlling greenhouse gas emissions in general, including through the application of new technologies on terms which make such an application economically and socially beneficial,

Determined to protect the climate system for present and future generations,

Have agreed as follows:

Article 1

DEFINITIONS*

For the purposes of this Convention:

1. “Adverse effects of climate change” means changes in the physical environment or biota resulting from climate change which have significant deleterious effects on the composition, resilience or productivity of natural and managed ecosystems or on the operation of socio-economic systems or on human health and welfare.
2. “Climate change” means a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods.
3. “Climate system” means the totality of the atmosphere, hydrosphere, biosphere and geosphere and their interactions.
4. “Emissions” means the release of greenhouse gases and/or their precursors into the atmosphere over a specified area and period of time.
5. “Greenhouse gases” means those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and re-emit infrared radiation.
6. “Regional economic integration organization” means an organization constituted by sovereign States of a given region which has competence in respect of matters governed by this Convention or its protocols and has been duly authorized, in accordance with its internal procedures, to sign, ratify, accept, approve or accede to the instruments concerned.

* Titles of articles are included solely to assist the reader.

7. “Reservoir” means a component or components of the climate system where a greenhouse gas or a precursor of a greenhouse gas is stored.
8. “Sink” means any process, activity or mechanism which removes a greenhouse gas, an aerosol or a precursor of a greenhouse gas from the atmosphere.
9. “Source” means any process or activity which releases a greenhouse gas, an aerosol or a precursor of a greenhouse gas into the atmosphere.

Article 2

OBJECTIVE

The ultimate objective of this Convention and any related legal instruments that the Conference of the Parties may adopt 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. Such a level should 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.

Article 3

PRINCIPLES

In their actions to achieve the objective of the Convention and to implement its provisions, the Parties shall be guided, inter alia, by the following:

1. The 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 their common but differentiated responsibilities and respective capabilities. Accordingly, the developed country Parties should take the lead in combating climate change and the adverse effects thereof.
2. The specific needs and special circumstances of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change, and of those Parties, especially developing country Parties, that would have to bear a disproportionate or abnormal burden under the Convention, should be given full consideration.
3. The Parties should take precautionary measures to anticipate, prevent or minimize the causes of climate change and mitigate its adverse effects. Where there are threats of serious or irreversible damage, lack of full scientific certainty should not be used as a reason for postponing such measures, taking into account that policies and measures to deal with climate change should be cost-effective so as to ensure global benefits at the lowest possible cost. To achieve this, such policies and measures should take into account different socio-economic contexts, be comprehensive, cover all relevant sources, sinks and reservoirs of greenhouse gases and adaptation, and comprise all economic sectors. Efforts to address climate change may be carried out cooperatively by interested Parties.

4. The Parties have a right to, and should, promote sustainable development. Policies and measures to protect the climate system against human-induced change should be appropriate for the specific conditions of each Party and should be integrated with national development programmes, taking into account that economic development is essential for adopting measures to address climate change.

5. The 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.

Article 4

COMMITMENTS

1. All Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, shall:

(a) Develop, periodically update, publish and make available to the Conference of the Parties, in accordance with Article 12, national inventories of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, using comparable methodologies to be agreed upon by the Conference of the Parties;

(b) Formulate, implement, publish and regularly update national and, where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, and measures to facilitate adequate adaptation to climate change;

(c) Promote and cooperate in the development, application and diffusion, including transfer, of technologies, practices and processes that control, reduce or prevent anthropogenic emissions of greenhouse gases not controlled by the Montreal Protocol in all relevant sectors, including the energy, transport, industry, agriculture, forestry and waste management sectors;

(d) Promote sustainable management, and promote and cooperate in the conservation and enhancement, as appropriate, of sinks and reservoirs of all greenhouse gases not controlled by the Montreal Protocol, including biomass, forests and oceans as well as other terrestrial, coastal and marine ecosystems;

(e) Cooperate in preparing for adaptation to the impacts of climate change; develop and elaborate appropriate and integrated plans for coastal zone management, water resources and agriculture, and for the protection and rehabilitation of areas, particularly in Africa, affected by drought and desertification, as well as floods;

(f) Take climate change considerations into account, to the extent feasible, in their relevant social, economic and environmental policies and actions, and employ appropriate methods, for example impact assessments, formulated and determined nationally, with a view to minimizing adverse effects on the economy, on public health and on the quality of the environment, of projects or measures undertaken by them to mitigate or adapt to climate change;

(g) Promote and cooperate in scientific, technological, technical, socio-economic and other research, systematic observation and development of data archives related to the climate system and intended to further the understanding and to reduce or eliminate the remaining uncertainties regarding the causes, effects, magnitude and timing of climate change and the economic and social consequences of various response strategies;

(h) Promote and cooperate in the full, open and prompt exchange of relevant scientific, technological, technical, socio-economic and legal information related to the climate system and climate change, and to the economic and social consequences of various response strategies;

(i) Promote and cooperate in education, training and public awareness related to climate change and encourage the widest participation in this process, including that of non-governmental organizations; and

(j) Communicate to the Conference of the Parties information related to implementation, in accordance with Article 12.

2. The developed country Parties and other Parties included in Annex I commit themselves specifically as provided for in the following:

(a) Each of these Parties shall adopt national¹ policies and take corresponding measures on the mitigation of climate change, by limiting its anthropogenic emissions of greenhouse gases and protecting and enhancing its greenhouse gas sinks and reservoirs. These policies and measures will demonstrate that developed countries are taking the lead in modifying longer-term trends in anthropogenic emissions consistent with the objective of the Convention, recognizing that the return by the end of the present decade to earlier levels of anthropogenic emissions of carbon dioxide and other greenhouse gases not controlled by the Montreal Protocol would contribute to such modification, and taking into account the differences in these Parties' starting points and approaches, economic structures and resource bases, the need to maintain strong and sustainable economic growth, available technologies and other individual circumstances, as well as the need for equitable and appropriate contributions by each of these Parties to the global effort regarding that objective. These Parties may implement such policies and measures jointly with other Parties and may assist other Parties in contributing to the achievement of the objective of the Convention and, in particular, that of this subparagraph;

¹ This includes policies and measures adopted by regional economic integration organizations.

(b) In order to promote progress to this end, each of these Parties shall communicate, within six months of the entry into force of the Convention for it and periodically thereafter, and in accordance with Article 12, detailed information on its policies and measures referred to in subparagraph (a) above, as well as on its resulting projected anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol for the period referred to in subparagraph (a), with the aim of returning individually or jointly to their 1990 levels these anthropogenic emissions of carbon dioxide and other greenhouse gases not controlled by the Montreal Protocol. This information will be reviewed by the Conference of the Parties, at its first session and periodically thereafter, in accordance with Article 7;

(c) Calculations of emissions by sources and removals by sinks of greenhouse gases for the purposes of subparagraph (b) above should take into account the best available scientific knowledge, including of the effective capacity of sinks and the respective contributions of such gases to climate change. The Conference of the Parties shall consider and agree on methodologies for these calculations at its first session and review them regularly thereafter;

(d) The Conference of the Parties shall, at its first session, review the adequacy of subparagraphs (a) and (b) above. Such review shall be carried out in the light of the best available scientific information and assessment on climate change and its impacts, as well as relevant technical, social and economic information. Based on this review, the Conference of the Parties shall take appropriate action, which may include the adoption of amendments to the commitments in subparagraphs (a) and (b) above. The Conference of the Parties, at its first session, shall also take decisions regarding criteria for joint implementation as indicated in subparagraph (a) above. A second review of subparagraphs (a) and (b) shall take place not later than 31 December 1998, and thereafter at regular intervals determined by the Conference of the Parties, until the objective of the Convention is met;

(e) Each of these Parties shall:

- (i) coordinate as appropriate with other such Parties, relevant economic and administrative instruments developed to achieve the objective of the Convention; and
- (ii) identify and periodically review its own policies and practices which encourage activities that lead to greater levels of anthropogenic emissions of greenhouse gases not controlled by the Montreal Protocol than would otherwise occur;

(f) The Conference of the Parties shall review, not later than 31 December 1998, available information with a view to taking decisions regarding such amendments to the lists in Annexes I and II as may be appropriate, with the approval of the Party concerned;

(g) Any Party not included in Annex I may, in its instrument of ratification, acceptance, approval or accession, or at any time thereafter, notify the Depositary that it intends to be bound by subparagraphs (a) and (b) above. The Depositary shall inform the other signatories and Parties of any such notification.

3. The developed country Parties and other developed Parties included in Annex II shall provide new and additional financial resources to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1. They shall also provide such financial resources, including for the transfer of technology, needed by the developing country Parties to meet the agreed full incremental costs of implementing measures that are covered by paragraph 1 of this Article and that are agreed between a developing country Party and the international entity or entities referred to in Article 11, in accordance with that Article. The implementation of these commitments shall take into account the need for adequacy and predictability in the flow of funds and the importance of appropriate burden sharing among the developed country Parties.

4. The developed country Parties and other developed Parties included in Annex II shall also assist the developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting costs of adaptation to those adverse effects.

5. The developed country Parties and other developed Parties included in Annex II shall take all practicable steps to promote, facilitate and finance, as appropriate, the transfer of, or access to, environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention. In this process, the developed country Parties shall support the development and enhancement of endogenous capacities and technologies of developing country Parties. Other Parties and organizations in a position to do so may also assist in facilitating the transfer of such technologies.

6. In the implementation of their commitments under paragraph 2 above, a certain degree of flexibility shall be allowed by the Conference of the Parties to the Parties included in Annex I undergoing the process of transition to a market economy, in order to enhance the ability of these Parties to address climate change, including with regard to the historical level of anthropogenic emissions of greenhouse gases not controlled by the Montreal Protocol chosen as a reference.

7. 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 transfer of technology and will take fully into account that economic and social development and poverty eradication are the first and overriding priorities of the developing country Parties.

8. In the implementation of the commitments in this Article, the Parties shall give full consideration to what actions are necessary under the Convention, including actions related to funding, insurance and the transfer of technology, to meet the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and/or the impact of the implementation of response measures, especially on:

- (a) Small island countries;
- (b) Countries with low-lying coastal areas;
- (c) Countries with arid and semi-arid areas, forested areas and areas liable to forest decay;

- (d) Countries with areas prone to natural disasters;
- (e) Countries with areas liable to drought and desertification;
- (f) Countries with areas of high urban atmospheric pollution;
- (g) Countries with areas with fragile ecosystems, including mountainous ecosystems;
- (h) Countries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energy-intensive products; and
- (i) Landlocked and transit countries.

Further, the Conference of the Parties may take actions, as appropriate, with respect to this paragraph.

9. The Parties shall take full account of the specific needs and special situations of the least developed countries in their actions with regard to funding and transfer of technology.

10. The Parties shall, in accordance with Article 10, take into consideration in the implementation of the commitments of the Convention the situation of Parties, particularly developing country Parties, with economies that are vulnerable to the adverse effects of the implementation of measures to respond to climate change. This applies notably to Parties with economies that are highly dependent on income generated from the production, processing and export, and/or consumption of fossil fuels and associated energy-intensive products and/or the use of fossil fuels for which such Parties have serious difficulties in switching to alternatives.

Article 5

RESEARCH AND SYSTEMATIC OBSERVATION

In carrying out their commitments under Article 4, paragraph 1 (g), the Parties shall:

- (a) Support and further develop, as appropriate, international and intergovernmental programmes and networks or organizations aimed at defining, conducting, assessing and financing research, data collection and systematic observation, taking into account the need to minimize duplication of effort;
- (b) Support international and intergovernmental efforts to strengthen systematic observation and national scientific and technical research capacities and capabilities, particularly in developing countries, and to promote access to, and the exchange of, data and analyses thereof obtained from areas beyond national jurisdiction; and
- (c) Take into account the particular concerns and needs of developing countries and cooperate in improving their endogenous capacities and capabilities to participate in the efforts referred to in subparagraphs (a) and (b) above.

Article 6

EDUCATION, TRAINING AND PUBLIC AWARENESS

In carrying out their commitments under Article 4, paragraph 1 (i), the Parties shall:

(a) Promote and facilitate at the national and, as appropriate, subregional and regional levels, and in accordance with national laws and regulations, and within their respective capacities:

- (i) the development and implementation of educational and public awareness programmes on climate change and its effects;
- (ii) public access to information on climate change and its effects;
- (iii) public participation in addressing climate change and its effects and developing adequate responses; and
- (iv) training of scientific, technical and managerial personnel;

(b) Cooperate in and promote, at the international level, and, where appropriate, using existing bodies:

- (i) the development and exchange of educational and public awareness material on climate change and its effects; and
- (ii) the development and implementation of education and training programmes, including the strengthening of national institutions and the exchange or secondment of personnel to train experts in this field, in particular for developing countries.

Article 7

CONFERENCE OF THE PARTIES

1. A Conference of the Parties is hereby established.

2. The Conference of the Parties, as the supreme body of this Convention, shall keep under regular review the implementation of the Convention and any related legal instruments that the Conference of the Parties may adopt, and shall make, within its mandate, the decisions necessary to promote the effective implementation of the Convention. To this end, it shall:

(a) Periodically examine the obligations of the Parties and the institutional arrangements under the Convention, in the light of the objective of the Convention, the experience gained in its implementation and the evolution of scientific and technological knowledge;

- (b) Promote and facilitate the exchange of information on measures adopted by the Parties to address climate change and its effects, taking into account the differing circumstances, responsibilities and capabilities of the Parties and their respective commitments under the Convention;
- (c) Facilitate, at the request of two or more Parties, the coordination of measures adopted by them to address climate change and its effects, taking into account the differing circumstances, responsibilities and capabilities of the Parties and their respective commitments under the Convention;
- (d) Promote and guide, in accordance with the objective and provisions of the Convention, the development and periodic refinement of comparable methodologies, to be agreed on by the Conference of the Parties, inter alia, for preparing inventories of greenhouse gas emissions by sources and removals by sinks, and for evaluating the effectiveness of measures to limit the emissions and enhance the removals of these gases;
- (e) Assess, on the basis of all information made available to it in accordance with the provisions of the Convention, the implementation of the Convention by the Parties, the overall effects of the measures taken pursuant to the Convention, in particular environmental, economic and social effects as well as their cumulative impacts and the extent to which progress towards the objective of the Convention is being achieved;
- (f) Consider and adopt regular reports on the implementation of the Convention and ensure their publication;
- (g) Make recommendations on any matters necessary for the implementation of the Convention;
- (h) Seek to mobilize financial resources in accordance with Article 4, paragraphs 3, 4 and 5, and Article 11;
- (i) Establish such subsidiary bodies as are deemed necessary for the implementation of the Convention;
- (j) Review reports submitted by its subsidiary bodies and provide guidance to them;
- (k) Agree upon and adopt, by consensus, rules of procedure and financial rules for itself and for any subsidiary bodies;
- (l) Seek and utilize, where appropriate, the services and cooperation of, and information provided by, competent international organizations and intergovernmental and non-governmental bodies; and
- (m) Exercise such other functions as are required for the achievement of the objective of the Convention as well as all other functions assigned to it under the Convention.

3. The Conference of the Parties shall, at its first session, adopt its own rules of procedure as well as those of the subsidiary bodies established by the Convention, which shall include decision-making procedures for matters not already covered by decision-making procedures stipulated in the Convention. Such procedures may include specified majorities required for the adoption of particular decisions.

4. The first session of the Conference of the Parties shall be convened by the interim secretariat referred to in Article 21 and shall take place not later than one year after the date of entry into force of the Convention. Thereafter, ordinary sessions of the Conference of the Parties shall be held every year unless otherwise decided by the Conference of the Parties.

5. Extraordinary sessions of the Conference of the Parties shall be held at such other times as may be deemed necessary by the Conference, or at the written request of any Party, provided that, within six months of the request being communicated to the Parties by the secretariat, it is supported by at least one third of the Parties.

6. The United Nations, its specialized agencies and the International Atomic Energy Agency, as well as any State member thereof or observers thereto not Party to the Convention, may be represented at sessions of the Conference of the Parties as observers. Any body or agency, whether national or international, governmental or non-governmental, which is qualified in matters covered by the Convention, and which has informed the secretariat of its wish to be represented at a session of the Conference of the Parties as an observer, may be so admitted unless at least one third of the Parties present object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of the Parties.

Article 8

SECRETARIAT

1. A secretariat is hereby established.

2. The functions of the secretariat shall be:

(a) To make arrangements for sessions of the Conference of the Parties and its subsidiary bodies established under the Convention and to provide them with services as required;

(b) To compile and transmit reports submitted to it;

(c) To facilitate assistance to the Parties, particularly developing country Parties, on request, in the compilation and communication of information required in accordance with the provisions of the Convention;

(d) To prepare reports on its activities and present them to the Conference of the Parties;

(e) To ensure the necessary coordination with the secretariats of other relevant international bodies;

(f) To enter, under the overall guidance of the Conference of the Parties, into such administrative and contractual arrangements as may be required for the effective discharge of its functions; and

(g) To perform the other secretariat functions specified in the Convention and in any of its protocols and such other functions as may be determined by the Conference of the Parties.

3. The Conference of the Parties, at its first session, shall designate a permanent secretariat and make arrangements for its functioning.

Article 9

SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

1. A subsidiary body for scientific and technological advice is hereby established to provide the Conference of the Parties and, as appropriate, its other subsidiary bodies with timely information and advice on scientific and technological matters relating to the Convention. This body shall be open to participation by all Parties and shall be multidisciplinary. It shall comprise government representatives competent in the relevant field of expertise. It shall report regularly to the Conference of the Parties on all aspects of its work.

2. Under the guidance of the Conference of the Parties, and drawing upon existing competent international bodies, this body shall:

(a) Provide assessments of the state of scientific knowledge relating to climate change and its effects;

(b) Prepare scientific assessments on the effects of measures taken in the implementation of the Convention;

(c) Identify innovative, efficient and state-of-the-art technologies and know-how and advise on the ways and means of promoting development and/or transferring such technologies;

(d) Provide advice on scientific programmes, international cooperation in research and development related to climate change, as well as on ways and means of supporting endogenous capacity-building in developing countries; and

(e) Respond to scientific, technological and methodological questions that the Conference of the Parties and its subsidiary bodies may put to the body.

3. The functions and terms of reference of this body may be further elaborated by the Conference of the Parties.

Article 10

SUBSIDIARY BODY FOR IMPLEMENTATION

1. A subsidiary body for implementation is hereby established to assist the Conference of the Parties in the assessment and review of the effective implementation of the Convention. This body shall be open to participation by all Parties and comprise government representatives who are experts on matters related to climate change. It shall report regularly to the Conference of the Parties on all aspects of its work.
2. Under the guidance of the Conference of the Parties, this body shall:
 - (a) Consider the information communicated in accordance with Article 12, paragraph 1, to assess the overall aggregated effect of the steps taken by the Parties in the light of the latest scientific assessments concerning climate change;
 - (b) Consider the information communicated in accordance with Article 12, paragraph 2, in order to assist the Conference of the Parties in carrying out the reviews required by Article 4, paragraph 2 (d); and
 - (c) Assist the Conference of the Parties, as appropriate, in the preparation and implementation of its decisions.

Article 11

FINANCIAL MECHANISM

1. A mechanism for the provision of financial resources on a grant or concessional basis, including for the transfer of technology, is hereby defined. It shall function under the guidance of and be accountable to the Conference of the Parties, which shall decide on its policies, programme priorities and eligibility criteria related to this Convention. Its operation shall be entrusted to one or more existing international entities.
2. The financial mechanism shall have an equitable and balanced representation of all Parties within a transparent system of governance.
3. The Conference of the Parties and the entity or entities entrusted with the operation of the financial mechanism shall agree upon arrangements to give effect to the above paragraphs, which shall include the following:
 - (a) Modalities to ensure that the funded projects to address climate change are in conformity with the policies, programme priorities and eligibility criteria established by the Conference of the Parties;
 - (b) Modalities by which a particular funding decision may be reconsidered in light of these policies, programme priorities and eligibility criteria;

(c) Provision by the entity or entities of regular reports to the Conference of the Parties on its funding operations, which is consistent with the requirement for accountability set out in paragraph 1 above; and

(d) Determination in a predictable and identifiable manner of the amount of funding necessary and available for the implementation of this Convention and the conditions under which that amount shall be periodically reviewed.

4. The Conference of the Parties shall make arrangements to implement the above-mentioned provisions at its first session, reviewing and taking into account the interim arrangements referred to in Article 21, paragraph 3, and shall decide whether these interim arrangements shall be maintained. Within four years thereafter, the Conference of the Parties shall review the financial mechanism and take appropriate measures.

5. The developed country Parties may also provide and developing country Parties avail themselves of, financial resources related to the implementation of the Convention through bilateral, regional and other multilateral channels.

Article 12

COMMUNICATION OF INFORMATION RELATED TO IMPLEMENTATION

1. In accordance with Article 4, paragraph 1, each Party shall communicate to the Conference of the Parties, through the secretariat, the following elements of information:

(a) A national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methodologies to be promoted and agreed upon by the Conference of the Parties;

(b) A general description of steps taken or envisaged by the Party to implement the Convention; and

(c) Any other information that the Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculations of global emission trends.

2. Each developed country Party and each other Party included in Annex I shall incorporate in its communication the following elements of information:

(a) A detailed description of the policies and measures that it has adopted to implement its commitment under Article 4, paragraphs 2 (a) and 2 (b); and

(b) A specific estimate of the effects that the policies and measures referred to in subparagraph (a) immediately above will have on anthropogenic emissions by its sources and removals by its sinks of greenhouse gases during the period referred to in Article 4, paragraph 2 (a).

3. In addition, each developed country Party and each other developed Party included in Annex II shall incorporate details of measures taken in accordance with Article 4, paragraphs 3, 4 and 5.
4. Developing country Parties may, on a voluntary basis, propose projects for financing, including specific technologies, materials, equipment, techniques or practices that would be needed to implement such projects, along with, if possible, an estimate of all incremental costs, of the reductions of emissions and increments of removals of greenhouse gases, as well as an estimate of the consequent benefits.
5. Each developed country Party and each other Party included in Annex I shall make its initial communication within six months of the entry into force of the Convention for that Party. Each Party not so listed shall make its initial communication within three years of the entry into force of the Convention for that Party, or of the availability of financial resources in accordance with Article 4, paragraph 3. Parties that are least developed countries may make their initial communication at their discretion. The frequency of subsequent communications by all Parties shall be determined by the Conference of the Parties, taking into account the differentiated timetable set by this paragraph.
6. Information communicated by Parties under this Article shall be transmitted by the secretariat as soon as possible to the Conference of the Parties and to any subsidiary bodies concerned. If necessary, the procedures for the communication of information may be further considered by the Conference of the Parties.
7. From its first session, the Conference of the Parties shall arrange for the provision to developing country Parties of technical and financial support, on request, in compiling and communicating information under this Article, as well as in identifying the technical and financial needs associated with proposed projects and response measures under Article 4. Such support may be provided by other Parties, by competent international organizations and by the secretariat, as appropriate.
8. Any group of Parties may, subject to guidelines adopted by the Conference of the Parties, and to prior notification to the Conference of the Parties, make a joint communication in fulfilment of their obligations under this Article, provided that such a communication includes information on the fulfilment by each of these Parties of its individual obligations under the Convention.
9. Information received by the secretariat that is designated by a Party as confidential, in accordance with criteria to be established by the Conference of the Parties, shall be aggregated by the secretariat to protect its confidentiality before being made available to any of the bodies involved in the communication and review of information.
10. Subject to paragraph 9 above, and without prejudice to the ability of any Party to make public its communication at any time, the secretariat shall make communications by Parties under this Article publicly available at the time they are submitted to the Conference of the Parties.

Article 13

RESOLUTION OF QUESTIONS REGARDING IMPLEMENTATION

The Conference of the Parties shall, at its first session, consider the establishment of a multilateral consultative process, available to Parties on their request, for the resolution of questions regarding the implementation of the Convention.

Article 14

SETTLEMENT OF DISPUTES

1. In the event of a dispute between any two or more Parties concerning the interpretation or application of the Convention, the Parties concerned shall seek a settlement of the dispute through negotiation or any other peaceful means of their own choice.

2. When ratifying, accepting, approving or acceding to the Convention, or at any time thereafter, a Party which is not a regional economic integration organization may declare in a written instrument submitted to the Depositary that, in respect of any dispute concerning the interpretation or application of the Convention, it recognizes as compulsory *ipso facto* and without special agreement, in relation to any Party accepting the same obligation:

(a) Submission of the dispute to the International Court of Justice; and/or

(b) Arbitration in accordance with procedures to be adopted by the Conference of the Parties as soon as practicable, in an annex on arbitration.

A Party which is a regional economic integration organization may make a declaration with like effect in relation to arbitration in accordance with the procedures referred to in subparagraph (b) above.

3. A declaration made under paragraph 2 above shall remain in force until it expires in accordance with its terms or until three months after written notice of its revocation has been deposited with the Depositary.

4. A new declaration, a notice of revocation or the expiry of a declaration shall not in any way affect proceedings pending before the International Court of Justice or the arbitral tribunal, unless the parties to the dispute otherwise agree.

5. Subject to the operation of paragraph 2 above, if after twelve months following notification by one Party to another that a dispute exists between them, the Parties concerned have not been able to settle their dispute through the means mentioned in paragraph 1 above, the dispute shall be submitted, at the request of any of the parties to the dispute, to conciliation.

6. A conciliation commission shall be created upon the request of one of the parties to the dispute. The commission shall be composed of an equal number of members appointed by each party concerned and a chairman chosen jointly by the members appointed by each party. The commission shall render a recommendatory award, which the parties shall consider in good faith.

7. Additional procedures relating to conciliation shall be adopted by the Conference of the Parties, as soon as practicable, in an annex on conciliation.
8. The provisions of this Article shall apply to any related legal instrument which the Conference of the Parties may adopt, unless the instrument provides otherwise.

Article 15

AMENDMENTS TO THE CONVENTION

1. Any Party may propose amendments to the Convention.
2. Amendments to the Convention shall be adopted at an ordinary session of the Conference of the Parties. The text of any proposed amendment to the Convention shall be communicated to the Parties by the secretariat at least six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate proposed amendments to the signatories to the Convention and, for information, to the Depositary.
3. The Parties shall make every effort to reach agreement on any proposed amendment to the Convention 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.
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 Convention.
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.
6. For the purposes of this Article, "Parties present and voting" means Parties present and casting an affirmative or negative vote.

Article 16

ADOPTION AND AMENDMENT OF ANNEXES TO THE CONVENTION

1. Annexes to the Convention shall form an integral part thereof and, unless otherwise expressly provided, a reference to the Convention constitutes at the same time a reference to any annexes thereto. Without prejudice to the provisions of Article 14, paragraphs 2 (b) and 7, 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.

2. Annexes to the Convention shall be proposed and adopted in accordance with the procedure set forth in Article 15, paragraphs 2, 3 and 4.
3. An annex that has been adopted in accordance with paragraph 2 above shall enter into force for all Parties to the Convention 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.
4. The proposal, adoption and entry into force of amendments to annexes to the Convention shall be subject to the same procedure as that for the proposal, adoption and entry into force of annexes to the Convention in accordance with paragraphs 2 and 3 above.
5. If the adoption of an annex or an amendment to an annex involves an amendment to the Convention, that annex or amendment to an annex shall not enter into force until such time as the amendment to the Convention enters into force.

Article 17

PROTOCOLS

1. The Conference of the Parties may, at any ordinary session, adopt protocols to the Convention.
2. The text of any proposed protocol shall be communicated to the Parties by the secretariat at least six months before such a session.
3. The requirements for the entry into force of any protocol shall be established by that instrument.
4. Only Parties to the Convention may be Parties to a protocol.
5. Decisions under any protocol shall be taken only by the Parties to the protocol concerned.

Article 18

RIGHT TO VOTE

1. Each Party to the Convention shall have one vote, except as provided for in paragraph 2 below.
2. Regional economic integration organizations, 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 the Convention. Such an organization shall not exercise its right to vote if any of its member States exercises its right, and vice versa.

Article 19

DEPOSITARY

The Secretary-General of the United Nations shall be the Depositary of the Convention and of protocols adopted in accordance with Article 17.

Article 20

SIGNATURE

This Convention shall be open for signature by States Members of the United Nations or of any of its specialized agencies or that are Parties to the Statute of the International Court of Justice and by regional economic integration organizations at Rio de Janeiro, during the United Nations Conference on Environment and Development, and thereafter at United Nations Headquarters in New York from 20 June 1992 to 19 June 1993.

Article 21

INTERIM ARRANGEMENTS

1. The secretariat functions referred to in Article 8 will be carried out on an interim basis by the secretariat established by the General Assembly of the United Nations in its resolution 45/212 of 21 December 1990, until the completion of the first session of the Conference of the Parties.
2. The head of the interim secretariat referred to in paragraph 1 above will cooperate closely with the Intergovernmental Panel on Climate Change to ensure that the Panel can respond to the need for objective scientific and technical advice. Other relevant scientific bodies could also be consulted.
3. The Global Environment Facility of the United Nations Development Programme, the United Nations Environment Programme and the International Bank for Reconstruction and Development shall be the international entity entrusted with the operation of the financial mechanism referred to in Article 11 on an interim basis. In this connection, the Global Environment Facility should be appropriately restructured and its membership made universal to enable it to fulfil the requirements of Article 11.

Article 22

RATIFICATION, ACCEPTANCE, APPROVAL OR ACCESSION

1. The Convention shall be subject to ratification, acceptance, approval or accession by States and by regional economic integration organizations. It shall be open for accession from the day after the date on which the Convention is closed for signature. Instruments of ratification, acceptance, approval or accession shall be deposited with the Depositary.

2. Any regional economic integration organization which becomes a Party to the Convention without any of its member States being a Party shall be bound by all the obligations under the Convention. In the case of such organizations, one or more of whose member States is a Party to the Convention, the organization and its member States shall decide on their respective responsibilities for the performance of their obligations under the Convention. In such cases, the organization and the member States shall not be entitled to exercise rights under the Convention concurrently.

3. In their instruments of ratification, acceptance, approval or accession, regional economic integration organizations shall declare the extent of their competence with respect to the matters governed by the Convention. These organizations shall also inform the Depositary, who shall in turn inform the Parties, of any substantial modification in the extent of their competence.

Article 23

ENTRY INTO FORCE

1. The Convention shall enter into force on the ninetieth day after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession.

2. For each State or regional economic integration organization that ratifies, accepts or approves the Convention or accedes thereto after the deposit of the fiftieth instrument of ratification, acceptance, approval or accession, the Convention shall enter into force on the ninetieth day after the date of deposit by such State or regional economic integration organization of its instrument of ratification, acceptance, approval or accession.

3. For the purposes of paragraphs 1 and 2 above, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by States members of the organization.

Article 24

RESERVATIONS

No reservations may be made to the Convention.

Article 25

WITHDRAWAL

1. At any time after three years from the date on which the Convention has entered into force for a Party, that Party may withdraw from the Convention by giving written notification to the Depositary.

2. Any such withdrawal shall take effect upon expiry of one year from the date of receipt by the Depositary of the notification of withdrawal, or on such later date as may be specified in the notification of withdrawal.

3. Any Party that withdraws from the Convention shall be considered as also having withdrawn from any protocol to which it is a Party.

Article 26

AUTHENTIC TEXTS

The original of this Convention, 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.

IN WITNESS WHEREOF the undersigned, being duly authorized to that effect, have signed this Convention.

DONE at New York this ninth day of May one thousand nine hundred and ninety-two.

Annex I

Australia
Austria
Belarus^a
Belgium
Bulgaria^a
Canada
Croatia^{a *}
Czech Republic^{a *}
Denmark
European Economic Community
Estonia^a
Finland
France
Germany
Greece
Hungary^a
Iceland
Ireland
Italy
Japan
Latvia^a
Liechtenstein*
Lithuania^a
Luxembourg
Monaco*
Netherlands
New Zealand
Norway
Poland^a
Portugal
Romania^a
Russian Federation^a
Slovakia^{a *}
Slovenia^{a *}
Spain
Sweden
Switzerland
Turkey
Ukraine^a
United Kingdom of Great Britain and Northern Ireland
United States of America

^a Countries that are undergoing the process of transition to a market economy.

* *Publisher's note:* Countries added to Annex I by an amendment that entered into force on 13 August 1998, pursuant to decision 4/CP.3 adopted at COP.3.

Annex II

Australia
Austria
Belgium
Canada
Denmark
European Economic Community
Finland
France
Germany
Greece
Iceland
Ireland
Italy
Japan
Luxembourg
Netherlands
New Zealand
Norway
Portugal
Spain
Sweden
Switzerland
United Kingdom of Great Britain and Northern Ireland
United States of America

Publisher's note: Turkey was deleted from Annex II by an amendment that entered into force 28 June 2002, pursuant to decision 26/CP.7 adopted at COP.7.

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**KYOTO PROTOCOL TO THE UNITED NATIONS FRAMEWORK
CONVENTION ON CLIMATE CHANGE**



UNITED NATIONS

1998

KYOTO PROTOCOL TO THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

The Parties to this Protocol,

Being Parties to the United Nations Framework Convention on Climate Change,
hereinafter referred to as “the Convention”,

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

Recalling the provisions of the Convention,

Being guided by Article 3 of the Convention,

Pursuant to the Berlin Mandate adopted by decision 1/CP.1 of the Conference of the Parties to the Convention at its first session,

Have agreed as follows:

Article 1

For the purposes of this Protocol, the definitions contained in Article 1 of the Convention shall apply. In addition:

1. “Conference of the Parties” means the Conference of the Parties to the Convention.
2. “Convention” means the United Nations Framework Convention on Climate Change, adopted in New York on 9 May 1992.
3. “Intergovernmental Panel on Climate Change” means the Intergovernmental Panel on Climate Change established in 1988 jointly by the World Meteorological Organization and the United Nations Environment Programme.
4. “Montreal Protocol” means the Montreal Protocol on Substances that Deplete the Ozone Layer, adopted in Montreal on 16 September 1987 and as subsequently adjusted and amended.
5. “Parties present and voting” means Parties present and casting an affirmative or negative vote.
6. “Party” means, unless the context otherwise indicates, a Party to this Protocol.
7. “Party included in Annex I” means a Party included in Annex I to the Convention, as may be amended, or a Party which has made a notification under Article 4, paragraph 2 (g), of the Convention.

Article 2

1. Each Party included in Annex I, in achieving its quantified emission limitation and reduction commitments under Article 3, in order to promote sustainable development, shall:

(a) Implement and/or further elaborate policies and measures in accordance with its national circumstances, such as:

- (i) Enhancement of energy efficiency in relevant sectors of the national economy;
- (ii) Protection and enhancement of sinks and reservoirs of greenhouse gases not controlled by the Montreal Protocol, taking into account its commitments under relevant international environmental agreements; promotion of sustainable forest management practices, afforestation and reforestation;
- (iii) Promotion of sustainable forms of agriculture in light of climate change considerations;
- (iv) Research on, and promotion, development and increased use of, new and renewable forms of energy, of carbon dioxide sequestration technologies and of advanced and innovative environmentally sound technologies;
- (v) Progressive reduction or phasing out of market imperfections, fiscal incentives, tax and duty exemptions and subsidies in all greenhouse gas emitting sectors that run counter to the objective of the Convention and application of market instruments;
- (vi) Encouragement of appropriate reforms in relevant sectors aimed at promoting policies and measures which limit or reduce emissions of greenhouse gases not controlled by the Montreal Protocol;
- (vii) Measures to limit and/or reduce emissions of greenhouse gases not controlled by the Montreal Protocol in the transport sector;
- (viii) Limitation and/or reduction of methane emissions through recovery and use in waste management, as well as in the production, transport and distribution of energy;

(b) Cooperate with other such Parties to enhance the individual and combined effectiveness of their policies and measures adopted under this Article, pursuant to Article 4, paragraph 2 (e) (i), of the Convention. To this end, these Parties shall take steps to share their experience and exchange information on such policies and measures, including developing ways of improving their comparability, transparency and effectiveness. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first session or as soon as practicable thereafter, consider ways to facilitate such cooperation, taking into account all relevant information.

2. The Parties included in Annex I shall pursue limitation or reduction of emissions of greenhouse gases not controlled by the Montreal Protocol from aviation and marine bunker fuels, working through the International Civil Aviation Organization and the International Maritime Organization, respectively.

3. The Parties included in Annex I shall strive to implement policies and measures under this Article in such a way as to minimize adverse effects, including the adverse effects of climate change, effects on international trade, and social, environmental and economic impacts on other Parties, especially developing country Parties and in particular those identified in Article 4, paragraphs 8 and 9, of the Convention, taking into account Article 3 of the Convention. The Conference of the Parties serving as the meeting of the Parties to this Protocol may take further action, as appropriate, to promote the implementation of the provisions of this paragraph.

4. The Conference of the Parties serving as the meeting of the Parties to this Protocol, if it decides that it would be beneficial to coordinate any of the policies and measures in paragraph 1 (a) above, taking into account different national circumstances and potential effects, shall consider ways and means to elaborate the coordination of such policies and measures.

Article 3

1. The Parties included in Annex I shall, individually or jointly, ensure that their aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A do not exceed their assigned amounts, calculated pursuant to their quantified emission limitation and reduction commitments inscribed in Annex B and in accordance with the provisions of this Article, with a view to reducing their overall emissions of such gases by at least 5 per cent below 1990 levels in the commitment period 2008 to 2012.

2. Each Party included in Annex I shall, by 2005, have made demonstrable progress in achieving its commitments under this Protocol.

3. The net changes in greenhouse gas emissions by sources and removals by sinks resulting from direct human-induced land-use change and forestry activities, limited to afforestation, reforestation and deforestation since 1990, measured as verifiable changes in carbon stocks in each commitment period, shall be used to meet the commitments under this Article of each Party included in Annex I. The greenhouse gas emissions by sources and removals by sinks associated with those activities shall be reported in a transparent and verifiable manner and reviewed in accordance with Articles 7 and 8.

4. Prior to the first session of the Conference of the Parties serving as the meeting of the Parties to this Protocol, each Party included in Annex I shall provide, for consideration by the Subsidiary Body for Scientific and Technological Advice, data to establish its level of carbon stocks in 1990 and to enable an estimate to be made of its changes in carbon stocks in subsequent years. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first session or as soon as practicable thereafter, decide upon modalities, rules and guidelines as to how, and which, additional human-induced activities related to changes in greenhouse gas emissions by sources and removals by sinks in the agricultural soils and the land-use change and forestry categories shall be added to, or subtracted from, the assigned amounts for Parties included in Annex I, taking into account uncertainties, transparency in reporting, verifiability, the methodological work of the Intergovernmental Panel on Climate Change, the advice provided by the Subsidiary Body for Scientific and Technological Advice in accordance with Article 5 and the decisions of the Conference of the Parties. Such a decision shall apply in the second and subsequent commitment periods. A Party may choose to apply such a decision on these additional human-induced activities for its first commitment period, provided that these activities have taken place since 1990.

5. The Parties included in Annex I undergoing the process of transition to a market economy whose base year or period was established pursuant to decision 9/CP.2 of the Conference of the Parties at its second session shall use that base year or period for the implementation of their commitments under this Article. Any other Party included in Annex I undergoing the process of transition to a market economy which has not yet submitted its first national communication under Article 12 of the Convention may also notify the Conference of the Parties serving as the meeting of the Parties to this Protocol that it intends to use an historical base year or period other than 1990 for the implementation of its commitments under this Article. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall decide on the acceptance of such notification.
6. Taking into account Article 4, paragraph 6, of the Convention, in the implementation of their commitments under this Protocol other than those under this Article, a certain degree of flexibility shall be allowed by the Conference of the Parties serving as the meeting of the Parties to this Protocol to the Parties included in Annex I undergoing the process of transition to a market economy.
7. In the first quantified emission limitation and reduction commitment period, from 2008 to 2012, the assigned amount for each Party included in Annex I shall be equal to the percentage inscribed for it in Annex B of its aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A in 1990, or the base year or period determined in accordance with paragraph 5 above, multiplied by five. Those Parties included in Annex I for whom land-use change and forestry constituted a net source of greenhouse gas emissions in 1990 shall include in their 1990 emissions base year or period the aggregate anthropogenic carbon dioxide equivalent emissions by sources minus removals by sinks in 1990 from land-use change for the purposes of calculating their assigned amount.
8. Any Party included in Annex I may use 1995 as its base year for hydrofluorocarbons, perfluorocarbons and sulphur hexafluoride, for the purposes of the calculation referred to in paragraph 7 above.
9. Commitments for subsequent periods for Parties included in Annex I shall be established in amendments to Annex B to this Protocol, which shall be adopted in accordance with the provisions of Article 21, paragraph 7. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall initiate the consideration of such commitments at least seven years before the end of the first commitment period referred to in paragraph 1 above.
10. Any emission reduction units, or any part of an assigned amount, which a Party acquires from another Party in accordance with the provisions of Article 6 or of Article 17 shall be added to the assigned amount for the acquiring Party.
11. Any emission reduction units, or any part of an assigned amount, which a Party transfers to another Party in accordance with the provisions of Article 6 or of Article 17 shall be subtracted from the assigned amount for the transferring Party.
12. Any certified emission reductions which a Party acquires from another Party in accordance with the provisions of Article 12 shall be added to the assigned amount for the acquiring Party.

13. If the emissions of a Party included in Annex I in a commitment period are less than its assigned amount under this Article, this difference shall, on request of that Party, be added to the assigned amount for that Party for subsequent commitment periods.

14. Each Party included in Annex I shall strive to implement the commitments mentioned in paragraph 1 above in such a way as to minimize adverse social, environmental and economic impacts on developing country Parties, particularly those identified in Article 4, paragraphs 8 and 9, of the Convention. In line with relevant decisions of the Conference of the Parties on the implementation of those paragraphs, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first session, consider what actions are necessary to minimize the adverse effects of climate change and/or the impacts of response measures on Parties referred to in those paragraphs. Among the issues to be considered shall be the establishment of funding, insurance and transfer of technology.

Article 4

1. Any Parties included in Annex I that have reached an agreement to fulfil their commitments under Article 3 jointly, shall be deemed to have met those commitments provided that their total combined aggregate anthropogenic carbon dioxide equivalent emissions of the greenhouse gases listed in Annex A do not exceed their assigned amounts calculated pursuant to their quantified emission limitation and reduction commitments inscribed in Annex B and in accordance with the provisions of Article 3. The respective emission level allocated to each of the Parties to the agreement shall be set out in that agreement.

2. The Parties to any such agreement shall notify the secretariat of the terms of the agreement on the date of deposit of their instruments of ratification, acceptance or approval of this Protocol, or accession thereto. The secretariat shall in turn inform the Parties and signatories to the Convention of the terms of the agreement.

3. Any such agreement shall remain in operation for the duration of the commitment period specified in Article 3, paragraph 7.

4. If Parties acting jointly do so in the framework of, and together with, a regional economic integration organization, any alteration in the composition of the organization after adoption of this Protocol shall not affect existing commitments under this Protocol. Any alteration in the composition of the organization shall only apply for the purposes of those commitments under Article 3 that are adopted subsequent to that alteration.

5. In the event of failure by the Parties to such an agreement to achieve their total combined level of emission reductions, each Party to that agreement shall be responsible for its own level of emissions set out in the agreement.

6. If Parties acting jointly do so in the framework of, and together with, a regional economic integration organization which is itself a Party to this Protocol, each member State of that regional economic integration organization individually, and together with the regional economic integration organization acting in accordance with Article 24, shall, in the event of failure to achieve the total combined level of emission reductions, be responsible for its level of emissions as notified in accordance with this Article.

Article 5

1. Each Party included in Annex I shall have in place, no later than one year prior to the start of the first commitment period, a national system for the estimation of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol. Guidelines for such national systems, which shall incorporate the methodologies specified in paragraph 2 below, shall be decided upon by the Conference of the Parties serving as the meeting of the Parties to this Protocol at its first session.
2. Methodologies for estimating anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol shall be those accepted by the Intergovernmental Panel on Climate Change and agreed upon by the Conference of the Parties at its third session. Where such methodologies are not used, appropriate adjustments shall be applied according to methodologies agreed upon by the Conference of the Parties serving as the meeting of the Parties to this Protocol at its first session. Based on the work of, *inter alia*, the Intergovernmental Panel on Climate Change and advice provided by the Subsidiary Body for Scientific and Technological Advice, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall regularly review and, as appropriate, revise such methodologies and adjustments, taking fully into account any relevant decisions by the Conference of the Parties. Any revision to methodologies or adjustments shall be used only for the purposes of ascertaining compliance with commitments under Article 3 in respect of any commitment period adopted subsequent to that revision.
3. The global warming potentials used to calculate the carbon dioxide equivalence of anthropogenic emissions by sources and removals by sinks of greenhouse gases listed in Annex A shall be those accepted by the Intergovernmental Panel on Climate Change and agreed upon by the Conference of the Parties at its third session. Based on the work of, *inter alia*, the Intergovernmental Panel on Climate Change and advice provided by the Subsidiary Body for Scientific and Technological Advice, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall regularly review and, as appropriate, revise the global warming potential of each such greenhouse gas, taking fully into account any relevant decisions by the Conference of the Parties. Any revision to a global warming potential shall apply only to commitments under Article 3 in respect of any commitment period adopted subsequent to that revision.

Article 6

1. For the purpose of meeting its commitments under Article 3, any Party included in Annex I may transfer to, or acquire from, any other such Party emission reduction units resulting from projects aimed at reducing anthropogenic emissions by sources or enhancing anthropogenic removals by sinks of greenhouse gases in any sector of the economy, provided that:
 - (a) Any such project has the approval of the Parties involved;
 - (b) Any such project provides a reduction in emissions by sources, or an enhancement of removals by sinks, that is additional to any that would otherwise occur;

(c) It does not acquire any emission reduction units if it is not in compliance with its obligations under Articles 5 and 7; and

(d) The acquisition of emission reduction units shall be supplemental to domestic actions for the purposes of meeting commitments under Article 3.

2. The Conference of the Parties serving as the meeting of the Parties to this Protocol may, at its first session or as soon as practicable thereafter, further elaborate guidelines for the implementation of this Article, including for verification and reporting.

3. A Party included in Annex I may authorize legal entities to participate, under its responsibility, in actions leading to the generation, transfer or acquisition under this Article of emission reduction units.

4. If a question of implementation by a Party included in Annex I of the requirements referred to in this Article is identified in accordance with the relevant provisions of Article 8, transfers and acquisitions of emission reduction units may continue to be made after the question has been identified, provided that any such units may not be used by a Party to meet its commitments under Article 3 until any issue of compliance is resolved.

Article 7

1. Each Party included in Annex I shall incorporate in its annual inventory of anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol, submitted in accordance with the relevant decisions of the Conference of the Parties, the necessary supplementary information for the purposes of ensuring compliance with Article 3, to be determined in accordance with paragraph 4 below.

2. Each Party included in Annex I shall incorporate in its national communication, submitted under Article 12 of the Convention, the supplementary information necessary to demonstrate compliance with its commitments under this Protocol, to be determined in accordance with paragraph 4 below.

3. Each Party included in Annex I shall submit the information required under paragraph 1 above annually, beginning with the first inventory due under the Convention for the first year of the commitment period after this Protocol has entered into force for that Party. Each such Party shall submit the information required under paragraph 2 above as part of the first national communication due under the Convention after this Protocol has entered into force for it and after the adoption of guidelines as provided for in paragraph 4 below. The frequency of subsequent submission of information required under this Article shall be determined by the Conference of the Parties serving as the meeting of the Parties to this Protocol, taking into account any timetable for the submission of national communications decided upon by the Conference of the Parties.

4. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall adopt at its first session, and review periodically thereafter, guidelines for the preparation of the information required under this Article, taking into account guidelines for the preparation of

national communications by Parties included in Annex I adopted by the Conference of the Parties. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall also, prior to the first commitment period, decide upon modalities for the accounting of assigned amounts.

Article 8

1. The information submitted under Article 7 by each Party included in Annex I shall be reviewed by expert review teams pursuant to the relevant decisions of the Conference of the Parties and in accordance with guidelines adopted for this purpose by the Conference of the Parties serving as the meeting of the Parties to this Protocol under paragraph 4 below. The information submitted under Article 7, paragraph 1, by each Party included in Annex I shall be reviewed as part of the annual compilation and accounting of emissions inventories and assigned amounts. Additionally, the information submitted under Article 7, paragraph 2, by each Party included in Annex I shall be reviewed as part of the review of communications.

2. Expert review teams shall be coordinated by the secretariat and shall be composed of experts selected from those nominated by Parties to the Convention and, as appropriate, by intergovernmental organizations, in accordance with guidance provided for this purpose by the Conference of the Parties.

3. The review process shall provide a thorough and comprehensive technical assessment of all aspects of the implementation by a Party of this Protocol. The expert review teams shall prepare a report to the Conference of the Parties serving as the meeting of the Parties to this Protocol, assessing the implementation of the commitments of the Party and identifying any potential problems in, and factors influencing, the fulfilment of commitments. Such reports shall be circulated by the secretariat to all Parties to the Convention. The secretariat shall list those questions of implementation indicated in such reports for further consideration by the Conference of the Parties serving as the meeting of the Parties to this Protocol.

4. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall adopt at its first session, and review periodically thereafter, guidelines for the review of implementation of this Protocol by expert review teams taking into account the relevant decisions of the Conference of the Parties.

5. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, with the assistance of the Subsidiary Body for Implementation and, as appropriate, the Subsidiary Body for Scientific and Technological Advice, consider:

(a) The information submitted by Parties under Article 7 and the reports of the expert reviews thereon conducted under this Article; and

(b) Those questions of implementation listed by the secretariat under paragraph 3 above, as well as any questions raised by Parties.

6. Pursuant to its consideration of the information referred to in paragraph 5 above, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall take decisions on any matter required for the implementation of this Protocol.

Article 9

1. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall periodically review this Protocol in the light of the best available scientific information and assessments on climate change and its impacts, as well as relevant technical, social and economic information. Such reviews shall be coordinated with pertinent reviews under the Convention, in particular those required by Article 4, paragraph 2 (d), and Article 7, paragraph 2 (a), of the Convention. Based on these reviews, the Conference of the Parties serving as the meeting of the Parties to this Protocol shall take appropriate action.
2. The first review shall take place at the second session of the Conference of the Parties serving as the meeting of the Parties to this Protocol. Further reviews shall take place at regular intervals and in a timely manner.

Article 10

All Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities, objectives and circumstances, without introducing any new commitments for Parties not included in Annex I, but reaffirming existing commitments under Article 4, paragraph 1, of the Convention, and continuing to advance the implementation of these commitments in order to achieve sustainable development, taking into account Article 4, paragraphs 3, 5 and 7, of the Convention, shall:

(a) Formulate, where relevant and to the extent possible, cost-effective national and, where appropriate, regional programmes to improve the quality of local emission factors, activity data and/or models which reflect the socio-economic conditions of each Party for the preparation and periodic updating of national inventories of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, using comparable methodologies to be agreed upon by the Conference of the Parties, and consistent with the guidelines for the preparation of national communications adopted by the Conference of the Parties;

(b) Formulate, implement, publish and regularly update national and, where appropriate, regional programmes containing measures to mitigate climate change and measures to facilitate adequate adaptation to climate change:

- (i) Such programmes would, *inter alia*, concern the energy, transport and industry sectors as well as agriculture, forestry and waste management. Furthermore, adaptation technologies and methods for improving spatial planning would improve adaptation to climate change; and
- (ii) Parties included in Annex I shall submit information on action under this Protocol, including national programmes, in accordance with Article 7; and other Parties shall seek to include in their national communications, as appropriate, information on programmes which contain measures that the Party believes contribute to addressing climate change and its adverse impacts, including the abatement of increases in greenhouse gas emissions, and enhancement of and removals by sinks, capacity building and adaptation measures;

(c) Cooperate in the promotion of effective modalities for the development, application and diffusion of, and take all practicable steps to promote, facilitate and finance, as appropriate, the transfer of, or access to, environmentally sound technologies, know-how, practices and processes pertinent to climate change, in particular to developing countries, including the formulation of policies and programmes for the effective transfer of environmentally sound technologies that are publicly owned or in the public domain and the creation of an enabling environment for the private sector, to promote and enhance the transfer of, and access to, environmentally sound technologies;

(d) Cooperate in scientific and technical research and promote the maintenance and the development of systematic observation systems and development of data archives to reduce uncertainties related to the climate system, the adverse impacts of climate change and the economic and social consequences of various response strategies, and promote the development and strengthening of endogenous capacities and capabilities to participate in international and intergovernmental efforts, programmes and networks on research and systematic observation, taking into account Article 5 of the Convention;

(e) Cooperate in and promote at the international level, and, where appropriate, using existing bodies, the development and implementation of education and training programmes, including the strengthening of national capacity building, in particular human and institutional capacities and the exchange or secondment of personnel to train experts in this field, in particular for developing countries, and facilitate at the national level public awareness of, and public access to information on, climate change. Suitable modalities should be developed to implement these activities through the relevant bodies of the Convention, taking into account Article 6 of the Convention;

(f) Include in their national communications information on programmes and activities undertaken pursuant to this Article in accordance with relevant decisions of the Conference of the Parties; and

(g) Give full consideration, in implementing the commitments under this Article, to Article 4, paragraph 8, of the Convention.

Article 11

1. In the implementation of Article 10, Parties shall take into account the provisions of Article 4, paragraphs 4, 5, 7, 8 and 9, of the Convention.

2. In the context of the implementation of Article 4, paragraph 1, of the Convention, in accordance with the provisions of Article 4, paragraph 3, and Article 11 of the Convention, and through the entity or entities entrusted with the operation of the financial mechanism of the Convention, the developed country Parties and other developed Parties included in Annex II to the Convention shall:

(a) Provide new and additional financial resources to meet the agreed full costs incurred by developing country Parties in advancing the implementation of existing commitments under Article 4, paragraph 1 (a), of the Convention that are covered in Article 10, subparagraph (a); and

(b) Also provide such financial resources, including for the transfer of technology, needed by the developing country Parties to meet the agreed full incremental costs of advancing the implementation of existing commitments under Article 4, paragraph 1, of the Convention that are covered by Article 10 and that are agreed between a developing country Party and the international entity or entities referred to in Article 11 of the Convention, in accordance with that Article.

The implementation of these existing commitments shall take into account the need for adequacy and predictability in the flow of funds and the importance of appropriate burden sharing among developed country Parties. The guidance to the entity or entities entrusted with the operation of the financial mechanism of the Convention in relevant decisions of the Conference of the Parties, including those agreed before the adoption of this Protocol, shall apply *mutatis mutandis* to the provisions of this paragraph.

3. The developed country Parties and other developed Parties in Annex II to the Convention may also provide, and developing country Parties avail themselves of, financial resources for the implementation of Article 10, through bilateral, regional and other multilateral channels.

Article 12

1. A clean development mechanism is hereby defined.

2. The purpose of the clean development mechanism shall be to assist Parties not included in Annex I in achieving sustainable development and in contributing to the ultimate objective of the Convention, and to assist Parties included in Annex I in achieving compliance with their quantified emission limitation and reduction commitments under Article 3.

3. Under the clean development mechanism:

(a) Parties not included in Annex I will benefit from project activities resulting in certified emission reductions; and

(b) Parties included in Annex I may use the certified emission reductions accruing from such project activities to contribute to compliance with part of their quantified emission limitation and reduction commitments under Article 3, as determined by the Conference of the Parties serving as the meeting of the Parties to this Protocol.

4. The clean development mechanism shall be subject to the authority and guidance of the Conference of the Parties serving as the meeting of the Parties to this Protocol and be supervised by an executive board of the clean development mechanism.

5. Emission reductions resulting from each project activity shall be certified by operational entities to be designated by the Conference of the Parties serving as the meeting of the Parties to this Protocol, on the basis of:

(a) Voluntary participation approved by each Party involved;

- (b) Real, measurable, and long-term benefits related to the mitigation of climate change; and
 - (c) Reductions in emissions that are additional to any that would occur in the absence of the certified project activity.
6. The clean development mechanism shall assist in arranging funding of certified project activities as necessary.
7. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first session, elaborate modalities and procedures with the objective of ensuring transparency, efficiency and accountability through independent auditing and verification of project activities.
8. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall ensure that a share of the proceeds from certified project activities is used to cover administrative expenses as well as to assist developing country Parties that are particularly vulnerable to the adverse effects of climate change to meet the costs of adaptation.
9. Participation under the clean development mechanism, including in activities mentioned in paragraph 3 (a) above and in the acquisition of certified emission reductions, may involve private and/or public entities, and is to be subject to whatever guidance may be provided by the executive board of the clean development mechanism.
10. Certified emission reductions obtained during the period from the year 2000 up to the beginning of the first commitment period can be used to assist in achieving compliance in the first commitment period.

Article 13

1. The Conference of the Parties, the supreme body of the Convention, shall serve as the meeting of the Parties to this Protocol.
2. Parties to the Convention that are not Parties to this Protocol may participate as observers in the proceedings of any session of the Conference of the Parties serving as the meeting of the Parties to this Protocol. When the Conference of the Parties serves as the meeting of the Parties to this Protocol, decisions under this Protocol shall be taken only by those that are Parties to this Protocol.
3. When the Conference of the Parties serves as the meeting of the Parties to this Protocol, any member of the Bureau of the Conference of the Parties representing a Party to the Convention but, at that time, not a Party to this Protocol, shall be replaced by an additional member to be elected by and from amongst the Parties to this Protocol.
4. The Conference of the Parties serving as the meeting of the Parties to this Protocol shall keep under regular review the implementation of this Protocol and shall make, within its mandate, the decisions necessary to promote its effective implementation. It shall perform the functions assigned to it by this Protocol and shall:

(a) Assess, on the basis of all information made available to it in accordance with the provisions of this Protocol, the implementation of this Protocol by the Parties, the overall effects of the measures taken pursuant to this Protocol, in particular environmental, economic and social effects as well as their cumulative impacts and the extent to which progress towards the objective of the Convention is being achieved;

(b) Periodically examine the obligations of the Parties under this Protocol, giving due consideration to any reviews required by Article 4, paragraph 2 (d), and Article 7, paragraph 2, of the Convention, in the light of the objective of the Convention, the experience gained in its implementation and the evolution of scientific and technological knowledge, and in this respect consider and adopt regular reports on the implementation of this Protocol;

(c) Promote and facilitate the exchange of information on measures adopted by the Parties to address climate change and its effects, taking into account the differing circumstances, responsibilities and capabilities of the Parties and their respective commitments under this Protocol;

(d) Facilitate, at the request of two or more Parties, the coordination of measures adopted by them to address climate change and its effects, taking into account the differing circumstances, responsibilities and capabilities of the Parties and their respective commitments under this Protocol;

(e) Promote and guide, in accordance with the objective of the Convention and the provisions of this Protocol, and taking fully into account the relevant decisions by the Conference of the Parties, the development and periodic refinement of comparable methodologies for the effective implementation of this Protocol, to be agreed on by the Conference of the Parties serving as the meeting of the Parties to this Protocol;

(f) Make recommendations on any matters necessary for the implementation of this Protocol;

(g) Seek to mobilize additional financial resources in accordance with Article 11, paragraph 2;

(h) Establish such subsidiary bodies as are deemed necessary for the implementation of this Protocol;

(i) Seek and utilize, where appropriate, the services and cooperation of, and information provided by, competent international organizations and intergovernmental and non-governmental bodies; and

(j) Exercise such other functions as may be required for the implementation of this Protocol, and consider any assignment resulting from a decision by the Conference of the Parties.

5. The rules of procedure of the Conference of the Parties and financial procedures applied under the Convention shall be applied *mutatis mutandis* under this Protocol, except as may be otherwise decided by consensus by the Conference of the Parties serving as the meeting of the Parties to this Protocol.

6. The first session of the Conference of the Parties serving as the meeting of the Parties to this Protocol shall be convened by the secretariat in conjunction with the first session of the Conference of the Parties that is scheduled after the date of the entry into force of this Protocol. Subsequent ordinary sessions of the Conference of the Parties serving as the meeting of the Parties to this Protocol shall be held every year and in conjunction with ordinary sessions of the Conference of the Parties, unless otherwise decided by the Conference of the Parties serving as the meeting of the Parties to this Protocol.

7. Extraordinary sessions of the Conference of the Parties serving as the meeting of the Parties to this Protocol shall be held at such other times as may be deemed necessary by the Conference of the Parties serving as the meeting of the Parties to this Protocol, or at the written request of any Party, provided that, within six months of the request being communicated to the Parties by the secretariat, it is supported by at least one third of the Parties.

8. The United Nations, its specialized agencies and the International Atomic Energy Agency, as well as any State member thereof or observers thereto not party to the Convention, may be represented at sessions of the Conference of the Parties serving as the meeting of the Parties to this Protocol as observers. Any body or agency, whether national or international, governmental or non-governmental, which is qualified in matters covered by this Protocol and which has informed the secretariat of its wish to be represented at a session of the Conference of the Parties serving as the meeting of the Parties to this Protocol as an observer, may be so admitted unless at least one third of the Parties present object. The admission and participation of observers shall be subject to the rules of procedure, as referred to in paragraph 5 above.

Article 14

1. The secretariat established by Article 8 of the Convention shall serve as the secretariat of this Protocol.

2. 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 Protocol. The secretariat shall, in addition, exercise the functions assigned to it under this Protocol.

Article 15

1. The Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation established by Articles 9 and 10 of the Convention shall serve as, respectively, the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation of this Protocol. The provisions relating to the functioning of these two bodies under the Convention shall apply *mutatis mutandis* to this Protocol. Sessions of the meetings of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation of this Protocol shall be held in conjunction with the meetings of, respectively, the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation of the Convention.

2. Parties to the Convention that are not Parties to this Protocol 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 Protocol, decisions under this Protocol shall be taken only by those that are Parties to this Protocol.

3. When the subsidiary bodies established by Articles 9 and 10 of the Convention exercise their functions with regard to matters concerning this Protocol, any member of the Bureaux of those subsidiary bodies representing a Party to the Convention but, at that time, not a party to this Protocol, shall be replaced by an additional member to be elected by and from amongst the Parties to this Protocol.

Article 16

The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, as soon as practicable, consider the application to this Protocol of, and modify as appropriate, the multilateral consultative process referred to in Article 13 of the Convention, in the light of any relevant decisions that may be taken by the Conference of the Parties. Any multilateral consultative process that may be applied to this Protocol shall operate without prejudice to the procedures and mechanisms established in accordance with Article 18.

Article 17

The Conference of the Parties shall define the relevant principles, modalities, rules and guidelines, in particular for verification, reporting and accountability for emissions trading. The Parties included in Annex B may participate in emissions trading for the purposes of fulfilling their commitments under Article 3. Any such trading shall be supplemental to domestic actions for the purpose of meeting quantified emission limitation and reduction commitments under that Article.

Article 18

The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first session, approve appropriate and effective procedures and mechanisms to determine and to address cases of non-compliance with the provisions of this Protocol, including through the development of an indicative list of consequences, taking into account the cause, type, degree and frequency of non-compliance. Any procedures and mechanisms under this Article entailing binding consequences shall be adopted by means of an amendment to this Protocol.

Article 19

The provisions of Article 14 of the Convention on settlement of disputes shall apply *mutatis mutandis* to this Protocol.

Article 20

1. Any Party may propose amendments to this Protocol.

2. Amendments to this Protocol shall be adopted at an ordinary session of the Conference of the Parties serving as the meeting of the Parties to this Protocol. The text of any proposed amendment to this Protocol shall be communicated to the Parties by the secretariat at least

six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate the text of any proposed amendments to the Parties and signatories to the Convention and, for information, to the Depositary.

3. The Parties shall make every effort to reach agreement on any proposed amendment to this Protocol 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.

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 this Protocol.

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.

Article 21

1. Annexes to this Protocol shall form an integral part thereof and, unless otherwise expressly provided, a reference to this Protocol constitutes at the same time a reference to any annexes thereto. Any annexes adopted after the entry into force of this Protocol shall be restricted to lists, forms and any other material of a descriptive nature that is of a scientific, technical, procedural or administrative character.

2. Any Party may make proposals for an annex to this Protocol and may propose amendments to annexes to this Protocol.

3. Annexes to this Protocol and amendments to annexes to this Protocol shall be adopted at an ordinary session of the Conference of the Parties serving as the meeting of the Parties to this Protocol. The text of any proposed annex or amendment to an annex shall be communicated to the Parties by the secretariat at least six months before the meeting at which it is proposed for adoption. The secretariat shall also communicate the text of any proposed annex or amendment to an annex to the Parties and signatories to the Convention and, for information, to the Depositary.

4. The Parties shall make every effort to reach agreement on any proposed annex or amendment to an annex by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the annex or amendment to an annex shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting at the meeting. The adopted annex or amendment to an annex shall be communicated by the secretariat to the Depositary, who shall circulate it to all Parties for their acceptance.

5. An annex, or amendment to an annex other than Annex A or B, that has been adopted in accordance with paragraphs 3 and 4 above shall enter into force for all Parties to this Protocol six months after the date of the communication by the Depositary to such Parties of the adoption of the annex or adoption of the amendment to the annex, except for those Parties that have

notified the Depositary, in writing, within that period of their non-acceptance of the annex or amendment to the annex. The annex or amendment to an annex shall enter into force for Parties which withdraw their notification of non-acceptance on the ninetieth day after the date on which withdrawal of such notification has been received by the Depositary.

6. If the adoption of an annex or an amendment to an annex involves an amendment to this Protocol, that annex or amendment to an annex shall not enter into force until such time as the amendment to this Protocol enters into force.

7. Amendments to Annexes A and B to this Protocol shall be adopted and enter into force in accordance with the procedure set out in Article 20, provided that any amendment to Annex B shall be adopted only with the written consent of the Party concerned.

Article 22

1. Each Party shall have one vote, except as provided for in paragraph 2 below.

2. Regional economic integration organizations, 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 Protocol. Such an organization shall not exercise its right to vote if any of its member States exercises its right, and vice versa.

Article 23

The Secretary-General of the United Nations shall be the Depositary of this Protocol.

Article 24

1. This Protocol shall be open for signature and subject to ratification, acceptance or approval by States and regional economic integration organizations which are Parties to the Convention. It shall be open for signature at United Nations Headquarters in New York from 16 March 1998 to 15 March 1999. This Protocol shall be open for accession from the day after the date on which it is closed for signature. Instruments of ratification, acceptance, approval or accession shall be deposited with the Depositary.

2. Any regional economic integration organization which becomes a Party to this Protocol without any of its member States being a Party shall be bound by all the obligations under this Protocol. In the case of such organizations, one or more of whose member States is a Party to this Protocol, the organization and its member States shall decide on their respective responsibilities for the performance of their obligations under this Protocol. In such cases, the organization and the member States shall not be entitled to exercise rights under this Protocol concurrently.

3. In their instruments of ratification, acceptance, approval or accession, regional economic integration organizations shall declare the extent of their competence with respect to the matters governed by this Protocol. These organizations shall also inform the Depositary, who shall in turn inform the Parties, of any substantial modification in the extent of their competence.

Article 25

1. This Protocol shall enter into force on the ninetieth day after the date on which not less than 55 Parties to the Convention, incorporating Parties included in Annex I which accounted in total for at least 55 per cent of the total carbon dioxide emissions for 1990 of the Parties included in Annex I, have deposited their instruments of ratification, acceptance, approval or accession.
2. For the purposes of this Article, “the total carbon dioxide emissions for 1990 of the Parties included in Annex I” means the amount communicated on or before the date of adoption of this Protocol by the Parties included in Annex I in their first national communications submitted in accordance with Article 12 of the Convention.
3. For each State or regional economic integration organization that ratifies, accepts or approves this Protocol or accedes thereto after the conditions set out in paragraph 1 above for entry into force have been fulfilled, this Protocol shall enter into force on the ninetieth day following the date of deposit of its instrument of ratification, acceptance, approval or accession.
4. For the purposes of this Article, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by States members of the organization.

Article 26

No reservations may be made to this Protocol.

Article 27

1. At any time after three years from the date on which this Protocol has entered into force for a Party, that Party may withdraw from this Protocol by giving written notification to the Depositary.
2. Any such withdrawal shall take effect upon expiry of one year from the date of receipt by the Depositary of the notification of withdrawal, or on such later date as may be specified in the notification of withdrawal.
3. Any Party that withdraws from the Convention shall be considered as also having withdrawn from this Protocol.

Article 28

The original of this Protocol, 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.

DONE at Kyoto this eleventh day of December one thousand nine hundred and ninety-seven.

IN WITNESS WHEREOF the undersigned, being duly authorized to that effect, have affixed their signatures to this Protocol on the dates indicated.

Annex A

Greenhouse gases

Carbon dioxide (CO₂)
Methane (CH₄)
Nitrous oxide (N₂O)
Hydrofluorocarbons (HFCs)
Perfluorocarbons (PFCs)
Sulphur hexafluoride (SF₆)

Sectors/source categories

Energy

- Fuel combustion
 - Energy industries
 - Manufacturing industries and construction
 - Transport
 - Other sectors
 - Other
- Fugitive emissions from fuels
 - Solid fuels
 - Oil and natural gas
 - Other

Industrial processes

- Mineral products
- Chemical industry
- Metal production
- Other production
- Production of halocarbons and sulphur hexafluoride
- Consumption of halocarbons and sulphur hexafluoride
- Other

Solvent and other product use

Agriculture

- Enteric fermentation
- Manure management
- Rice cultivation
- Agricultural soils
- Prescribed burning of savannas
- Field burning of agricultural residues
- Other

Waste

- Solid waste disposal on land
- Wastewater handling
- Waste incineration
- Other

Annex B

Party	Quantified emission limitation or reduction commitment (percentage of base year or period)
Australia	108
Austria	92
Belgium	92
Bulgaria*	92
Canada	94
Croatia*	95
Czech Republic*	92
Denmark	92
Estonia*	92
European Community	92
Finland	92
France	92
Germany	92
Greece	92
Hungary*	94
Iceland	110
Ireland	92
Italy	92
Japan	94
Latvia*	92
Liechtenstein	92
Lithuania*	92
Luxembourg	92
Monaco	92
Netherlands	92
New Zealand	100
Norway	101
Poland*	94
Portugal	92
Romania*	92
Russian Federation*	100
Slovakia*	92
Slovenia*	92
Spain	92
Sweden	92
Switzerland	92
Ukraine*	100
United Kingdom of Great Britain and Northern Ireland	92
United States of America	93

* Countries that are undergoing the process of transition to a market economy.



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NATIONS



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CONFERENCE OF THE PARTIES

**Report of the Conference of the Parties
on its thirteenth session, held in Bali
from 3 to 15 December 2007**

Addendum

**Part Two: Action taken by the Conference of the Parties
at its thirteenth session**

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Bali Action Plan

The Conference of the Parties,

Resolving to urgently enhance implementation of the Convention in order to achieve its ultimate objective in full accordance with its principles and commitments,

Reaffirming that economic and social development and poverty eradication are global priorities,

Responding to the findings of the Fourth Assessment Report of the Intergovernmental Panel on Climate Change that warming of the climate system is unequivocal, and that delay in reducing emissions significantly constrains opportunities to achieve lower stabilization levels and increases the risk of more severe climate change impacts,

Recognizing that deep cuts in global emissions will be required to achieve the ultimate objective of the Convention and emphasizing the urgency¹ to address climate change as indicated in the Fourth Assessment Report of the Intergovernmental Panel on Climate Change,

1. *Decides* to launch a comprehensive process to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to reach an agreed outcome and adopt a decision at its fifteenth session, by addressing, inter alia:

- (a) A shared vision for long-term cooperative action, including a long-term global goal for emission reductions, to achieve the ultimate objective of the Convention, in accordance with the provisions and principles of the Convention, in particular the principle of common but differentiated responsibilities and respective capabilities, and taking into account social and economic conditions and other relevant factors;
- (b) Enhanced national/international action on mitigation of climate change, including, inter alia, consideration of:
 - (i) Measurable, reportable and verifiable nationally appropriate mitigation commitments or actions, including quantified emission limitation and reduction objectives, by all developed country Parties, while ensuring the comparability of efforts among them, taking into account differences in their national circumstances;
 - (ii) Nationally appropriate mitigation actions by developing country Parties in the context of sustainable development, supported and enabled by technology, financing and capacity-building, in a measurable, reportable and verifiable manner;
 - (iii) 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;

¹ Contribution of Working Group III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, Technical Summary, pages 39 and 90, and Chapter 13, page 776.

- (iv) Cooperative sectoral approaches and sector-specific actions, in order to enhance implementation of Article 4, paragraph 1(c), of the Convention;
 - (v) Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions, bearing in mind different circumstances of developed and developing countries;
 - (vi) Economic and social consequences of response measures;
 - (vii) Ways to strengthen the catalytic role of the Convention in encouraging multilateral bodies, the public and private sectors and civil society, building on synergies among activities and processes, as a means to support mitigation in a coherent and integrated manner;
- (c) Enhanced action on adaptation, including, inter alia, consideration of:
- (i) International cooperation to support urgent implementation of adaptation actions, including through vulnerability assessments, prioritization of actions, financial needs assessments, capacity-building and response strategies, integration of adaptation actions into sectoral and national planning, specific projects and programmes, means to incentivize the implementation of adaptation actions, and other ways to enable climate-resilient development and reduce vulnerability of all Parties, taking into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, especially the least developed countries and small island developing States, and further taking into account the needs of countries in Africa affected by drought, desertification and floods;
 - (ii) Risk management and risk reduction strategies, including risk sharing and transfer mechanisms such as insurance;
 - (iii) Disaster reduction strategies and means to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change;
 - (iv) Economic diversification to build resilience;
 - (v) Ways to strengthen the catalytic role of the Convention in encouraging multilateral bodies, the public and private sectors and civil society, building on synergies among activities and processes, as a means to support adaptation in a coherent and integrated manner;
- (d) Enhanced action on technology development and transfer to support action on mitigation and adaptation, including, inter alia, consideration of:
- (i) Effective mechanisms and enhanced means for the removal of obstacles to, and provision of financial and other incentives for, scaling up of the development and transfer of technology to developing country Parties in order to promote access to affordable environmentally sound technologies;
 - (ii) Ways to accelerate deployment, diffusion and transfer of affordable environmentally sound technologies;

- (iii) Cooperation on research and development of current, new and innovative technology, including win-win solutions;
- (iv) The effectiveness of mechanisms and tools for technology cooperation in specific sectors;
- (e) Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation, including, inter alia, consideration of:
 - (i) Improved access to adequate, predictable and sustainable financial resources and financial and technical support, and the provision of new and additional resources, including official and concessional funding for developing country Parties;
 - (ii) Positive incentives for developing country Parties for the enhanced implementation of national mitigation strategies and adaptation action;
 - (iii) Innovative means of funding to assist developing country Parties that are particularly vulnerable to the adverse impacts of climate change in meeting the cost of adaptation;
 - (iv) Means to incentivize the implementation of adaptation actions on the basis of sustainable development policies;
 - (v) Mobilization of public- and private-sector funding and investment, including facilitation of climate-friendly investment choices;
 - (vi) Financial and technical support for capacity-building in the assessment of the costs of adaptation in developing countries, in particular the most vulnerable ones, to aid in determining their financial needs;

2. *Decides* that the process shall be conducted under a subsidiary body under the Convention, hereby established and known as the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, that shall complete its work in 2009 and present the outcome of its work to the Conference of the Parties for adoption at its fifteenth session;

3. *Agrees* that the process shall begin without delay, that the sessions of the group will be scheduled as often as is feasible and necessary to complete the work of the group, where possible in conjunction with sessions of other bodies established under the Convention, and that its sessions may be complemented by workshops and other activities, as required;

4. *Decides* that the first session of the group shall be held as soon as is feasible and not later than April 2008;

5. *Decides* that the Chair and Vice-Chair of the group, with one being from a Party included in Annex I to the Convention (Annex I Party) and the other being from a Party not included in Annex I to the Convention (non-Annex I Party), shall alternate annually between an Annex I Party and a non-Annex I Party;

6. *Takes note* of the proposed schedule of meetings contained in the annex to this decision;

7. *Instructs* the group to develop its work programme at its first session in a coherent and integrated manner;

8. *Invites* Parties to submit to the secretariat, by 22 February 2008, their views regarding the work programme, taking into account the elements referred to in paragraph 1 above, to be compiled by the secretariat for consideration by the group at its first meeting;

9. *Requests* the group to report to the Conference of the Parties at its fourteenth session on progress made;

10. *Agrees* to take stock of the progress made, at its fourteenth session, on the basis of the report by the group;

11. *Agrees* that the process shall be informed by, inter alia, the best available scientific information, experience in implementation of the Convention and its Kyoto Protocol, and processes thereunder, outputs from other relevant intergovernmental processes and insights from the business and research communities and civil society;

12. *Notes* that the organization of work of the group will require a significant amount of additional resources to provide for the participation of delegates from Parties eligible to be funded and to provide conference services and substantive support;

13. *Strongly urges* Parties in a position to do so, in order to facilitate the work of the group, to provide contributions to the Trust Fund for Participation in the UNFCCC Process and the Trust Fund for Supplementary Activities for the purposes referred to in paragraph 12 above and to provide other forms of in kind support such as hosting a session of the group.

ANNEX

**Indicative timetable for meetings of the Ad Hoc Working Group on
Long-term Cooperative Action under the Convention in 2008**

Session	Dates
Session 1	March/April 2008
Session 2	June 2008, in conjunction with the twenty-eighth sessions of the subsidiary bodies
Session 3	August/September 2008
Session 4	December 2008, in conjunction with the fourteenth session of the Conference of the Parties

*8th plenary meeting
14–15 December 2007*

Decision 2/CP.13

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

The Conference of the Parties,

Recalling the relevant provisions of the Convention, in particular Article 2, Article 3, paragraphs 1, 3 and 4, and Article 4, paragraphs 1(a)–(d), 3, 5 and 7,

Acknowledging the contribution of the emissions from deforestation to global anthropogenic greenhouse gas emissions,

Acknowledging that forest degradation also leads to emissions, and needs to be addressed when reducing emissions from deforestation,

Recognizing that efforts and actions to reduce deforestation and to maintain and conserve forest carbon stocks in developing countries are already being taken,

Recognizing the complexity of the problem, different national circumstances and the multiple drivers of deforestation and forest degradation,

Recognizing the potential role of further actions to reduce emissions from deforestation and forest degradation in developing countries in helping to meet the ultimate objective of the Convention,

Affirming the urgent need to take further meaningful action to reduce emissions from deforestation and forest degradation in developing countries,

Noting that sustainable reduction in emissions from deforestation and forest degradation in developing countries requires stable and predictable availability of resources,

Recognizing that reducing emissions from deforestation and forest degradation in developing countries can promote co-benefits and may complement the aims and objectives of other relevant international conventions and agreements,

Recognizing also that the needs of local and indigenous communities should be addressed when action is taken to reduce emissions from deforestation and forest degradation in developing countries,

1. *Invites* Parties to further strengthen and support ongoing efforts to reduce emissions from deforestation and forest degradation on a voluntary basis;

2. *Encourages* all Parties, in a position to do so, to support capacity-building, provide technical assistance, facilitate the transfer of technology to improve, inter alia, data collection, estimation of emissions from deforestation and forest degradation, monitoring and reporting, and address the institutional needs of developing countries to estimate and reduce emissions from deforestation and forest degradation;

3. *Further encourages* Parties to explore a range of actions, identify options and undertake efforts, including demonstration activities, to address the drivers of deforestation relevant to their national circumstances, with a view to reducing emissions from deforestation and forest degradation and thus enhancing forest carbon stocks due to sustainable management of forests;

4. *Encourages*, without prejudice to future decisions of the Conference of the Parties, the use of the indicative guidance provided in the annex to this decision as an aid in undertaking and evaluating the range of demonstration activities;
5. *Invites* Parties, in particular Parties included in Annex II to the Convention, to mobilize resources to support efforts in relation to the actions referred to in paragraphs 1–3 above;
6. *Encourages* the use of the most recent reporting guidelines¹ as a basis for reporting greenhouse gas emissions from deforestation, noting also that Parties not included in Annex I to the Convention are encouraged to apply the *Good Practice Guidance for Land Use, Land-Use Change and Forestry*;²
7. *Requests* the Subsidiary Body for Scientific and Technological Advice to undertake a programme of work on methodological issues related to a range of policy approaches and positive incentives that aim to reduce emissions from deforestation and forest degradation in developing countries noting relevant documents;³ the work should include:
- (a) Inviting Parties to submit, by 21 March 2008, their views on how to address outstanding methodological issues including, inter alia, assessments of changes in forest cover and associated carbon stocks and greenhouse gas emissions, incremental changes due to sustainable management of the forest, demonstration of reductions in emissions from deforestation, including reference emissions levels, estimation and demonstration of reduction in emissions from forest degradation, implications of national and subnational approaches including displacement of emissions, options for assessing the effectiveness of actions in relation to paragraphs 1, 2, 3 and 5 above, and criteria for evaluating actions, to be compiled into a miscellaneous document for consideration by the Subsidiary Body for Scientific and Technological Advice at its twenty-eighth session;
 - (b) Requesting the secretariat, subject to availability of supplementary funding, to organize a workshop on methodological issues identified in paragraph 7 (a) above, before its twenty-ninth session, and to prepare a report on the workshop for consideration by the Subsidiary Body for Scientific and Technological Advice at that session;
 - (c) Advancing the development of methodological approaches, taking into account the outcome of the workshop referred to in paragraph 7 (b) above at its twenty-ninth session;
8. *Requests* the Subsidiary Body for Scientific and Technological Advice to report to the Conference of the Parties, at its fourteenth session, on the outcomes of the work referred to in paragraph 7 (a)–(c) above, including any recommendations on possible methodological approaches;

¹ At the time of this decision, the most recent reporting guidelines for national communications from Parties not included in Annex I to the Convention are found in decision 17/CP.8.

² Decision 13/CP.9.

³ FCCC/SBSTA/2006/10, FCCC/SBSTA/2007/3, FCCC/SBSTA/2007/MISC.2 and Add.1, FCCC/SBSTA/2007/MISC.14 and Add. 1–3; and the background paper prepared for the workshop on reducing emissions from deforestation held in Rome, Italy, from 30 August to 1 September 2006, available at <http://unfccc.int/methods_and_science/lulucf/items/3757.php>.

9. *Invites* relevant organizations and stakeholders, without prejudice to any future decision of the Conference of the Parties on reducing emissions from deforestation and forest degradation in developing countries, to support efforts in relation to paragraphs 1, 2, 3 and 5 above and to share outcomes of these efforts with the Subsidiary Body for Scientific and Technological Advice by providing corresponding information to the secretariat;

10. *Requests* the secretariat to support, subject to the availability of supplementary funding, the activities of all Parties, in particular developing countries, in relation to paragraphs 3, 5, 7 and 9 above, by developing a Web platform where information submitted by Parties, relevant organizations and stakeholders will be made available;

11. *Notes* the further consideration, under decision 1/CP.13, of policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries;

12. *Notes further* that when addressing policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries, the efforts described in paragraph 3 above should be considered.

ANNEX

Indicative guidance

1. Demonstration activities should be undertaken with the approval of the host Party.
2. Estimates of reductions or increases of emissions should be results based, demonstrable, transparent and verifiable, and estimated consistently over time.
3. The use of the methodologies described in paragraph 6 of this decision is encouraged as a basis for estimating and monitoring emissions.
4. Emission reductions from national demonstration activities should be assessed on the basis of national emissions from deforestation and forest degradation.
5. Subnational demonstration activities should be assessed within the boundary used for the demonstration, and assessed for associated displacement of emissions.
6. Reductions in emissions or increases resulting from the demonstration activity should be based on historical emissions, taking into account national circumstances.
7. Subnational¹ approaches, where applied, should constitute a step towards the development of national approaches, reference levels and estimates.
8. Demonstration activities should be consistent with sustainable forest management, noting, inter alia, the relevant provisions of the United Nations Forum on Forests, the United Nations Convention to Combat Desertification and the Convention on Biological Diversity.
9. Experiences in implementing activities should be reported and made available via the Web platform.²
10. Reporting on demonstration activities should include a description of the activities and their effectiveness, and may include other information.
11. Independent expert review is encouraged.

*8th plenary meeting
14–15 December 2007*

¹ Activities carried out within the national boundary.

² To be developed by the secretariat as referred to in paragraph 10 of this decision.

Decision 3/CP.13

Development and transfer of technologies under the Subsidiary Body for Scientific and Technological Advice

The Conference of the Parties,

Recalling chapter 34 of Agenda 21 and the relevant provisions of the programme for the further implementation of Agenda 21 on the transfer of environmentally sound technologies adopted by the United Nations General Assembly at its nineteenth special session,

Recalling the relevant provisions of the Convention, in particular Article 4, paragraphs 1, 3, 5, 7, 8 and 9, Article 9, paragraph 2(c), Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4,

Recalling decisions 4/CP.7, 6/CP.10, 6/CP.11 and 3/CP.12,

Welcoming the progress of the work and achievements of the Expert Group on Technology Transfer since its inception in advancing and facilitating the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, and its related activities under the framework,

Noting the range of important actions and partnerships undertaken by Parties within and outside the framework of the Convention, which contribute to the development, transfer and deployment of environmentally sound technologies, including through joint research and development programmes,

Noting with appreciation the progress made by Parties included in Annex II to the Convention in establishing innovative financing partnerships such as the Global Energy Efficiency and Renewable Energy Fund and the European Union Energy Initiative,

Further noting the actions of Parties to contribute to addressing technology financing issues, through such vehicles as the Global Environment Facility, the Special Climate Change Fund, the Least Developed Countries Fund, the World Bank and the Climate Technology Initiative,

Recognizing that there is a crucial need to accelerate innovation in the development, deployment, adoption, diffusion and transfer of environmentally sound technologies among all Parties, and particularly from developed to developing countries, for both mitigation and adaptation,

Emphasizing that effective actions to address climate change require a broad portfolio of activities, including the widespread uptake of new and existing technologies and the creation of appropriate enabling environments,

Recognizing that close collaboration between government, industry and the research community, in particular through public–private partnerships, can stimulate the development of a wide range of mitigation and adaptation technologies and reduce their costs,

Further recognizing that the immediate and urgent delivery of technology development, deployment, diffusion and transfer to developing countries requires suitable responses, including a continued emphasis by all Parties, in particular Parties included in Annex I to the Convention, on enhancement of enabling environments, facilitating access to technology information and

capacity-building, identification of technology needs and innovative financing that mobilizes the vast resources of the private sector to supplement public finance sources where appropriate,

Further recognizing the importance of an effective institutional arrangement, access to financing and suitable indicators for monitoring and evaluating effectiveness to the development, deployment, diffusion and transfer of environmentally sound technologies to developing countries,

1. *Agrees* that the five themes listed in the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (the technology transfer framework), as contained in the annex to decision 4/CP.7, and the structure, definitions and purpose of this framework, continue to provide a solid basis for enhancing the implementation of Article 4, paragraph 5, of the Convention;

2. *Adopts* the set of actions, for consideration by the Expert Group on Technology Transfer in formulating its future work programmes, as set out in the recommendations for enhancing the technology transfer framework contained in annex I to this decision, and agrees that these activities would complement the actions in the technology transfer framework;

3. *Agrees* to reconstitute the Expert Group on Technology Transfer for a further five years with the terms of reference contained in annex II to this decision, and to review, at its eighteenth session, progress of the work and terms of reference, including, if appropriate, the status and continuation of this body; and agrees that the Expert Group on Technology Transfer should provide advice as appropriate to the subsidiary bodies;

4. *Decides* that the Expert Group on Technology Transfer shall constitute an effective institutional arrangement within the Convention, which is necessary to support action, and that this Expert Group on Technology Transfer shall have particular regard to the need for, and in accordance with the terms of reference referred to in paragraph 3 above:

- (a) Adequate and timely financial support, within the context of Article 4, paragraph 5, of the Convention;
- (b) Development of performance indicators, for monitoring and evaluating effectiveness;

5. *Requests* the Expert Group on Technology Transfer, with the support of the secretariat, to consult with relevant international organizations, and solicit information on their abilities to support certain activities identified in the set of actions contained in annex I to this decision, and to report on its findings to the subsidiary bodies at their twenty-ninth session;

6. *Invites* each of the relevant international organizations and initiatives referred to in paragraph 5 above to closely coordinate with the Expert Group on Technology Transfer on the relevant activities in its work programme;

7. *Urges* Parties not included in Annex I to the Convention to use the United Nations Development Programme handbook *Conducting Technology Needs Assessments for Climate Change*¹ when undertaking their technology needs assessments;

8. *Urges* Parties included in Annex II to the Convention, relevant intergovernmental organizations, international financial institutions, and other partnerships and initiatives, including the Climate Technology Initiative, in a position to do so, to provide technical and financial support to Parties

¹ <http://ttclear.unfccc.int/ttclear/pdf/TNA/UNDP/TNA%20Handbook_Final%20version.pdf>.

not included in Annex I to the Convention and countries with economies in transition to help them conduct, identify and implement prioritized technology needs;

9. *Requests* the secretariat to facilitate the implementation of the actions for enhancing the technology transfer framework further elaborated in annex I to this decision, and of the work of the Expert Group on Technology Transfer in cooperation with Parties, the Global Environment Facility and other relevant international organizations, initiatives and intergovernmental processes;

10. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the technology transfer framework, and complemented by the set of actions referred to in paragraph 2 above.

ANNEX I

Recommendations for enhancing the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention¹

1. The purpose of these recommendations is to identify specific actions for enhancing the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (referred to hereinafter as the technology transfer framework), as requested by decision 6/CP.10.
2. These recommendations were developed taking into account:
 - (a) Experience and lessons learned from the implementation of the technology transfer framework since its adoption by the Conference of the Parties (COP) at its seventh session (decision 4/CP.7);
 - (b) Progress of the work and the activities completed since the inception of the Expert Group on Technology Transfer (EGTT) in 2001 and the outcomes of its deliberations;
 - (c) Relevant ongoing activities relating to the development and transfer of technologies of various national, regional and international organizations, governments and the private sector, in different forums;
 - (d) That the work on advancing the uptake of mitigation technologies and technologies for adaptation to climate change involves cross-cutting activities and, as such, normally is implemented under multiple key themes of the framework;
 - (e) The need to promote a broader involvement of Parties, international organizations, the private sector (in particular business and industry as well as the financial community), technology practitioners and other relevant stakeholders for the implementation of the framework;
 - (f) The need to strike a balance between strategic and operational actions, whereby the strategic actions are implemented by organizing technical workshops and expert meetings. These lead to the preparation of reports, technical papers and other tools on specific issues that provide technical inputs and operational guidance for the benefit of Parties and other users.
3. The existing structure, five thematic areas of work, definitions and purpose under the current technology transfer framework contained in the annex to decision 4/CP.7 continue to provide a solid basis for implementing the provisions of Article 4, paragraph 5, of the Convention.
4. Given that technology is one of the important elements for discussions on the future long-term cooperative actions to address climate change by enhancing implementation of the Convention, the suggested time frame for the implementation of the actions outlined below is for the medium term covering the period between 2007 and 2012 or until the eighteenth session of the COP. These recommendations address the medium-term work, pending the results of the dialogue on long-term cooperative action to address climate change by enhancing implementation of the Convention (Dialogue).

¹ The recommendations presented here are reproduced as included in document FCCC/SBSTA/2006/5, annex II.

5. The implementation of the recommendations presented below should be considered as further actions for enhancing the implementation of Article 4, paragraph 5, of the Convention set out in the technology transfer framework.
6. Work developed under each key theme has evolved to a more practical and results-oriented level and should continue to do so by promoting actions in specific sectors and regions. Therefore, there is a need to undertake periodic review on implementation of the framework and its effectiveness.
7. The EGTT recognized the need for financial and technical support to enable the Parties not included in the Annex I to the Convention (non-Annex I Parties) to implement the recommended actions below. In this regard Parties, when considering these recommendations, may wish to consider ways and means to address these needs.

A. Technology needs and needs assessments

8. Most of the actions described in paragraph 7 of the technology transfer framework under the theme of technology needs assessments (TNAs) have been completed as described in paragraphs 16–21 of the main part of document FCCC/SBSTA/2006/INF.4. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this key theme:
- (a) To encourage non-Annex I Parties that have not yet undertaken or completed their TNAs, to do so as soon as possible, and to make these reports available to the secretariat for posting on the UNFCCC technology information clearing house (TT:CLEAR);
 - (b) To encourage non-Annex I Parties to provide updated information on their technology needs in their second national communications and other national reports and to make them available to the secretariat;
 - (c) To request the secretariat to prepare a synthesis report(s) of the information mentioned in paragraph 8 (a) and (b) above for consideration by the Subsidiary Body for Scientific and Technological Advice (SBSTA);
 - (d) To request the Global Environment Facility (GEF) and its implementing agencies, other intergovernmental organizations (IGOs), international financial institutions (IFIs), the Climate Technology Initiative (CTI) and Parties that are in a position to do so to provide capacity-building for non-Annex I Parties to conduct, report and use TNAs;
 - (e) To request that, not later than 2009:
 - (i) The secretariat, in collaboration with the EGTT, United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and CTI, update the handbook for conducting technology needs assessments before SBSTA 28, taking into account experience and lessons learned indicated in the synthesis report on technology needs prepared by the secretariat,² cross-referencing the work on innovative financing and technologies for adaptation, and widely disseminate the updated handbook to Parties through TT:CLEAR and other means in different United Nations official languages;
 - (ii) The EGTT, with the assistance of the secretariat, prepare a report on good practices for conducting TNAs in collaboration with UNDP, UNEP and CTI for

² FCCC/SBSTA/2006/INF.1.

consideration by the SBSTA, and disseminate it to relevant stakeholders and practitioners;

- (f) To make available the results of TNAs, related experience and lessons learned in the TNA process and share them at national and international levels through the network of technology information centres, including through the organization of workshops by the secretariat in collaboration with relevant international organizations and initiatives;
- (g) The secretariat to provide regular updates on progress of the implementation of the results of technology needs identified in TNAs, including success stories for consideration by the SBSTA at its subsequent sessions, as appropriate;
- (h) To invite the EGTT to cooperate closely with the other expert groups constituted under the Convention, especially the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, with the aim of coordinating activities relating to TNAs and national communications.

9. The main actors in this work are Parties, the EGTT, the secretariat, the GEF and its implementing agencies, and CTI in collaboration with relevant national and international stakeholders.

B. Technology information

10. The actions identified under this theme of the technology transfer framework were mainly completed as described in paragraphs 27–34 of the main part of document FCCC/SBSTA/2006/INF.4. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this theme:

- (a) To maintain, update and further develop TT:CLEAR taking into account relevant conclusions of the SBSTA at its twentieth session and client surveys;
- (b) To enhance outreach activities by the secretariat to increase the numbers of users of TT:CLEAR from developing country Parties;
- (c) To share experiences and lessons learned among national and regional experts participating in the pilot project on TT:CLEAR networking through the organization of expert meetings;
- (d) To use TT:CLEAR and the network of technology centres developed through the current pilot programme to share technical information on technologies for adaptation and the associated capacity-building to meet the needs for technology information of vulnerable communities and countries;
- (e) To encourage the link between TT:CLEAR and technical information providers, including the private sector, in technology transfer;
- (f) To encourage the organization of training programmes and workshops by the secretariat in collaboration with the EGTT and relevant national, regional and international organizations for building capacity of experts in the creation of their national technology information databases;
- (g) To encourage Parties to provide more information on their technology transfer activities in their national communications.

11. The main actors in the work are the secretariat, Parties and their national and regional technology centres, relevant international organizations and the private sector.

C. Enabling environments for technology transfer

12. Based on lessons learned in the implementation of this theme, the following recommendations are made to enhance the implementation of this theme:

- (a) Preparation of technical studies on barriers, good practice and recommendations for developing enhanced enabling environments that accelerate the development and transfer of environmentally sound technologies (ESTs), at the national and international levels. This should cover related trade issues, technology development (including endogenous technologies), and technology push and market pull factors for consideration by the SBSTA;
- (b) To encourage Parties to avoid trade and intellectual property rights policies, or lack thereof, restricting transfer of technology;
- (c) To encourage Parties to make available through TT:CLEAR and other means information on ongoing and planned publicly funded research and development (R&D) activities where there are opportunities for non-Annex I Parties to jointly participate in such R&D activities, along with the terms under which Parties might participate and the steps necessary to establish such a collaborative relationship;
- (d) Close cooperation with public and/or private partnerships that focus on improving enabling environments for accelerating development and transfer of ESTs and which have been established in the context of processes such as the World Summit on Sustainable Development, the Group of Eight and other initiatives (Renewable Energy and Energy Efficiency Partnership, Johannesburg Renewable Energy Coalition, Carbon Sequestration Leadership Forum, and CTI and other International Energy Agency implementing agreements);
- (e) To encourage Parties to integrate the objective of technology transfer into national policies and to enhance the interaction between governments and the private sector.

13. The main actors in this work are Parties, the secretariat, relevant international organizations and initiatives, and the private sector.

D. Capacity-building for technology transfer

14. Activities relating to capacity-building are also listed under other sections of these recommendations. Based on lessons learned in the implementation of this theme, the following additional recommendations are made to enhance its implementation:

- (a) To encourage Parties, IGOs and other institutions and initiatives to support capacity-building activities to promote technology transfer, at the regional and national levels, that are targeted to respond to priority capacity-building needs identified by non-Annex I Parties in their TNAs, national communications and other national reports;
- (b) The secretariat to prepare periodic reports containing information relating to capacity-building needs for the development, deployment, application and transfer of technologies from all relevant sources of information, such as national communications of non-Annex I Parties, reports of TNAs and National Capacity Self Assessment reports supported by the GEF for consideration by the SBSTA. To the extent possible those reports could identify key elements for successful capacity-building for development and transfer of technologies for both mitigation of and adaptation to climate change;

- (c) To increase communication and outreach with regard to technology transfer activities under the framework and the work of the EGTT by creating learning centres (tools and methods) and partnership fairs (opportunities) in parallel with subsidiary body sessions and side events;
- (d) To encourage Parties, IGOs and other institutions and initiatives to organize training in management and operation of climate technologies; to establish/strengthen relevant organizations/institutions in developing countries for capacity-building for technology transfer; to establish/strengthen training, expert exchange, scholarship and cooperative research programmes in relevant national and regional institutions in developing countries for transfer of ESTs; and to organize seminars/training/workshops on capacity-building for adapting to the adverse effects of climate change.

15. The main actors in this work are Parties, the EGTT, the secretariat, the GEF and its implementing agencies, and relevant international organizations and initiatives.

E. Mechanisms for technology transfer

16. The following recommendations were built on ongoing work of the secretariat and the EGTT in different areas for enhancing the implementation of the technology transfer framework.

1. Innovative options for financing the development and transfer of technologies

17. The recommended actions in this area are:

- (a) To invite relevant international organizations and initiatives, such as CTI, in collaboration with the EGTT and the secretariat, to provide technical support through coaching and training programmes for project developers in developing countries and countries with economies in transition to transform project ideas resulting from TNAs into project proposals that meet the standards of the international financial providers;
- (b) To disseminate the new UNFCCC practitioners' guide for preparing and presenting project financing proposals to Parties and practitioners in developing countries and encourage its use in the activity mentioned in paragraph 14 (a) above, and post the guide on TT:CLEAR for distance learning purposes and for use in other training programmes;
- (c) To request the EGTT to promote success stories in financing technology transfer projects in emerging markets involving the private sector, including carbon funds, corporate-social-responsible, and triple-bottom-line³ investors;
- (d) To encourage Parties to create an environment conducive for private sector investments by providing such incentives as greater access to multilateral sources and other sources of targeted "smart" subsidy schemes that trigger private sector co-financing;
- (e) To encourage Parties to scale up and/or develop innovative public-private financing mechanisms and instruments that increase access to developing country project and business developers that play a role in the transfer, development and/or deployment of ESTs, focusing in particular on:
 - (i) Increasing the potential of public funds to leverage private sector capital;

³ These measure the economic, social and environmental benefits of a project.

- (ii) Increasing options for sharing and mitigating risks and for bundling small-scale projects to bridge the distance between large-scale infrastructure investors and small-scale project and business developers;
- (iii) The role that small and medium-sized enterprises, particularly joint ventures, can play in transferring, deploying and developing ESTs;
- (iv) Providing options for integrated technical assistance to help developing, managing and operating EST projects and businesses;
- (v) Promoting enterprise and corporate-driven R&D, innovation, and cost reductions;
- (f) To strengthen the dialogue between government and industry to encourage discussions between relevant ministries in recipient countries and private sector organizations to enhance the investment conditions for climate-friendly technologies;
- (g) For the EGTT to report regularly on the implementation of the mechanisms for technology transfer as spelled out in this document on a regular basis with a view to recommending new approaches that will further enhance technology transfer.

18. The main actors in this work are Parties, the EGTT, the secretariat, the GEF and its implementing agencies, public and private funding institutions, relevant international organizations and initiatives, and the private sector.

2. Possible ways and means to enhance cooperation with relevant conventions and intergovernmental processes

19. The recommended actions in this area are:

- (a) For the EGTT to explore possible ways to enhance cooperation between the UNFCCC and other multilateral environmental agreements (MEAs), through, inter alia, the Joint Liaison Group and other intergovernmental processes, in particular the Commission on Sustainable Development, where technology transfer is considered. It may be useful to look beyond MEAs and look for synergy with other intergovernmental processes (e.g. World Trade Organization, International Energy Agency (IEA), the Group of Eight and Asia-Pacific Economic Cooperation);
- (b) For the UNFCCC to be proactive in sharing information and experiences relating to the transfer of technologies, in particular for adaptation;
- (c) For the COP to encourage Parties, when formulating climate change strategies, programmes and projects, to take into consideration objectives of other MEAs;
- (d) Identification of areas for potential cooperation and formulation of clear objectives for this cooperation.

20. The main actors in this work are Parties, the EGTT, the secretariat, and relevant international organizations and processes.

3. Promotion of endogenous development of technology through provision of financial resources and joint research and development

21. The recommended actions in this area are:
- (a) To invite non-Annex I Parties to provide information on barriers encountered in the development of endogenous technologies, and to invite Parties to share good experiences in the promotion of endogenous technologies in non-Annex I Parties;
 - (b) To consider options for encouraging the setting up of institutions such as national systems of innovation that could lead to the endogenous development of technologies in developing countries and countries with economies in transition;
 - (c) To share lessons learned in endogenous technology development through TT:CLEAR;
 - (d) To report regularly to the SBSTA on endogenous technology development and seek further guidance from the SBSTA and the COP.
22. The main actors in this work are Parties, the EGTT and the secretariat.

4. Promotion of collaborative research and development on technologies

23. The recommended actions in this area are:
- (a) To provide guidance for TNA reporting on joint R&D needs and use of information in the national communications and TNAs to identify needs and opportunities for R&D;
 - (b) To provide opportunities for reporting joint R&D agreements, including voluntary agreements, on TT:CLEAR;
 - (c) To invite relevant intergovernmental organizations (e.g. Intergovernmental Panel on Climate Change, UNDP, UNEP, United Nations International Development Organization, Food and Agriculture Organization of the United Nations) and international organizations (e.g. IEA) to provide information on supported R&D activities relating to climate change;
 - (d) To consider options for promoting regional research platforms, making use of existing networks of centres of excellence, where possible;
 - (e) To prepare periodic stocktaking papers on status, opportunities and needs for further R&D;
 - (f) To invite governments to encourage academia and industry to develop research programmes to address climate-friendly technologies and to promote investment in climate change.

5. The Expert Group on Technology Transfer

24. The COP may wish to take into account the work of the EGTT and the recommendations contained in this document when reviewing the EGTT at its twelfth session.

ANNEX II

Terms of reference of the Expert Group on Technology Transfer1. Objectives

1. The Expert Group on Technology Transfer shall have the objectives of enhancing the implementation of Article 4, paragraph 5, of the Convention and advancing the development and transfer of technology activities under the Convention.
2. The Expert Group on Technology Transfer shall have the objectives of enhancing the implementation of the Convention provisions relevant to advancing the development, deployment, adoption, diffusion and transfer of environmentally sound technologies to developing countries, taking into consideration differences in accessing and applying technologies for mitigation and adaptation.

2. Functions

3. The Expert Group on Technology Transfer shall:
 - (a) Analyse and identify ways to facilitate and advance the development and transfer of technology activities, including those identified in the technology transfer framework and in annex I to this decision, and make recommendations for consideration, as appropriate, by the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI) to inform subsequent decisions by the Conference of the Parties (COP) related to the development and transfer of technology;
 - (b) Help implement results of technology needs assessments (TNAs), building on the work of the Expert Group on Technology Transfer on innovative financing and on other areas of the technology transfer framework;
 - (c) Develop, as part of its future programme of work, a set of performance indicators that could be used by the SBI to regularly monitor and evaluate the effectiveness of the implementation of the technology transfer framework, complemented with the set of actions set out in annex I, as referred to in paragraph 2 of this decision, considering the related work under the Convention and other relevant bodies. The terms of reference should be available for consideration by the SBSTA at its twenty-eighth session, with a view to proposing a draft report with a set of performance indicators to the subsidiary bodies for consideration at their thirtieth sessions, in order to make its final report available to the COP at its fifteenth session;
 - (d) Propose a two-year rolling programme of work, for endorsement by the twenty-eighth session of the subsidiary bodies following consideration by a joint contact group of the subsidiary bodies,¹ to facilitate the development, deployment, diffusion and transfer of technologies under the Convention. The setting of this programme of work should:
 - (i) For the medium-term perspective (2008–2012), take into account the set of actions for enhancing the implementation of the technology transfer framework complemented by annex I to this decision; this work in the context of the Convention could benefit from becoming more focused on practical actions, in particular with special attention given to the African region, small island developing States and least developed countries. It should also:

¹ To be established at the plenary of the SBSTA and at the plenary of the SBI.

- a. Accelerate the implementation of development and transfer of technologies through practical actions that fully consider sectoral and regional aspects and differences in national circumstances;
 - b. Consider a better integration of national strategies for sustainable development and poverty reduction, based on the United Nations Millennium Development Goals;
- (ii) For the long-term perspective beyond 2012: develop the terms of reference for elaborating a strategy paper, including sectoral approaches, that could draw on the work undertaken by Parties in processes under the Convention and outside the Convention as well as the results of work undertaken by other international organizations and forums. The strategy paper should be considered by the subsidiary bodies at their thirtieth sessions;
- (e) Assess strategies and innovative funding opportunities or incentives for engaging the participation of relevant stakeholders and partner organizations, and make recommendations to the subsidiary bodies for their consideration;
- (f) As part of its first two-year programme of work (2008–2009):
 - (i) Identify and analyse existing and potential new financing resources and relevant vehicles in supporting the development, deployment, diffusion and transfer of environmentally sound technologies in developing countries;
 - (ii) Based on the above identification and analysis, assess gaps and barriers to the use of and access to these financing resources in order to provide information to Parties to consider their adequacy and predictability;
- (g) In this identification, analysis and assessment, take into account the checklist of the following criteria:
 - (i) The implementation of TNAs;
 - (ii) Joint research and development programmes and activities in the development of new technologies;
 - (iii) Demonstration projects;
 - (iv) Enabling environments for technology transfer;
 - (v) Incentives for the private sector;
 - (vi) North–South and South–South cooperation;
 - (vii) Endogenous capacities and technologies;
 - (viii) Issues associated with meeting the agreed full incremental costs;
 - (ix) Licences to support the access to and transfer of low-carbon technologies and know-how;
 - (x) A window for, inter alia, a venture capital fund related to or possibly located in a multilateral financial institution;

- (h) Make available the terms of reference for this work (identification, analysis and assessment) for consideration by the SBSTA at its twenty-eighth session, with a view to proposing a report with recommendations on future financing options necessary for enhancing the implementation of the Convention with regard to the technology transfer framework complemented with the set of actions set out in annex I, as referred to in paragraph 2 of this decision, to the subsidiary bodies at their thirtieth sessions. The criteria in the checklist shall be regarded as important points for attention in funding through existing vehicles and new initiatives;
- (i) The Expert Group on Technology Transfer, with the assistance of the UNFCCC secretariat, should communicate the results of this work broadly, including to appropriate intergovernmental bodies and international financial institutions.

3. Membership

4. The Expert Group on Technology Transfer shall comprise 19 experts, as follows:
 - (a) Three members from each of the regions of the Parties not included in Annex I to the Convention (non-Annex I Parties), namely Africa, Asia and the Pacific, and Latin America and the Caribbean;
 - (b) One member from the small island developing States;
 - (c) Eight members from Parties included in Annex I to the Convention (Annex I Parties);
 - (d) One member from other non-Annex I Parties.
5. In addition, four resource persons may be invited, who represent relevant international organizations and initiatives (e.g. the GEF, the United Nations Development Programme, the African Development Bank, the Food and Agriculture Organization of the United Nations, the Asian Development Bank, the United Nations Environment Programme, the United Nations Industrial Development Organization, the World Bank, the International Energy Agency and Climate Technology Initiative). The Expert Group on Technology Transfer will proactively engage with these organizations and initiatives. If needed, the group may invite resource persons from other relevant organizations on an issue-oriented basis.
6. The members of the Expert Group on Technology Transfer shall be nominated by Parties for a period of two years and be eligible to serve two consecutive terms. Half of the members of the expert group nominated initially shall serve for a period of three years, taking into account the need to maintain the overall balance of the group. Every year thereafter, half of the members shall be nominated for a period of two years. Appointment pursuant to paragraph 7 below shall count as one term. The members shall remain in office until their successors are nominated. The resource persons from four relevant international organizations and initiatives shall serve on an issue-oriented basis.
7. If a member of the Expert Group on Technology Transfer resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, the secretariat may, depending on the proximity of the next session of the COP, request the group that had nominated the member to nominate another member to replace the said member for the remainder of that member's mandate. In such a case, the secretariat shall take into account any views expressed by the group that had nominated the member.

8. The Expert Group on Technology Transfer shall elect annually a Chair and a Vice-Chair from among its members, with one being a member from an Annex I Party and the other being a member from a non-Annex I Party. The positions of Chair and Vice-Chair shall alternate annually between a member from an Annex I Party and a member from a non-Annex I Party.

9. The members of the Expert Group on Technology Transfer shall serve in their personal capacity and shall have expertise in the five thematic areas of the current framework and/or in any of the following areas, inter alia: greenhouse gas mitigation and technologies for adaptation; technology assessments; information technology; resource economics including public and private financing instruments; and social development.

4. Organization of work

10. The Expert Group on Technology Transfer shall provide a report at each session of the subsidiary bodies with a view to seeking guidance for further actions.

11. The secretariat shall facilitate the organization of meetings of the group and shall prepare its reports and recommendations to the SBSTA and SBI and at their subsequent sessions.

12. The Expert Group on Technology Transfer shall meet twice a year in conjunction with the sessions of the subsidiary bodies, and resources permitting, additional meetings may be organized.

*8th plenary meeting
14–15 December 2007*

Decision 4/CP.13

Development and transfer of technologies under the Subsidiary Body for Implementation

The Conference of the Parties,

Recalling chapter 34 of Agenda 21 and the relevant provisions of the programme for the further implementation of Agenda 21 on the transfer of environmentally sound technologies adopted by the United Nations General Assembly at its nineteenth special session,

Recalling the relevant provisions of the Convention, in particular Article 4, paragraphs 1, 3, 5, 7, 8 and 9, Article 9, paragraph 2(c), Article 11, paragraphs 1 and 5, and Article 12, paragraphs 3 and 4,

Recalling decisions 13/CP.3, 4/CP.7, 6/CP.10, 6/CP.11 and 3/CP.12,

Recognizing that there is a crucial need to accelerate innovation in the development, deployment, adoption, diffusion and transfer of environmentally sound technologies among all Parties, and particularly from developed countries to developing countries, for both mitigation and adaptation,

Further recognizing that current institutional arrangements, access to financing and suitable indicators for monitoring under the Convention for the implementation of Article 4, paragraph 5, are limited and should be enhanced to deliver immediate and urgent technology development, deployment, diffusion and transfer to developing countries,

Further recognizing that the immediate and urgent delivery of technology development, deployment, diffusion and transfer to developing countries requires suitable responses, including a continued emphasis by all Parties on the enhancement of enabling environments, facilitating access to technology information and capacity-building, identification of technology needs and innovative financing that mobilizes the vast resources of the private sector to supplement public finance sources where appropriate,

Also recognizing that the implementation of the results of technology needs assessments and national communications remains a key objective, which could be enhanced through technical assistance to improve the preparation of project proposals and improve access to financing resources and models, which could be based on advisory networks such as the pilot project on the Private Financing Advisory Network of the Climate Technology Initiative,

Further recognizing the good work of the Expert Group on Technology Transfer during the past six years, which has contributed to better understanding of the issues related to effective technology transfer,

1. *Agrees* that the Expert Group on Technology Transfer shall make recommendations for consideration, as appropriate, by the subsidiary bodies to inform subsequent decisions of the Conference of the Parties related to development and transfer of technologies;
2. *Decides* that the following points are important for funding through existing vehicles and new initiatives:
 - (a) The implementation of technology needs assessments;

- (b) Joint research and development programmes and activities in the development of new technologies;
- (c) Demonstration projects;
- (d) Enabling environments for technology transfer;
- (e) Incentives for the private sector;
- (f) North–South and South–South cooperation;
- (g) Endogenous capacities and technologies;
- (h) Issues associated with meeting the agreed full incremental costs;
- (i) Licences to support the access to and transfer of low-carbon technologies and know-how;
- (j) A window for, inter alia, a venture capital fund related to, or possibly located in, a multilateral financial institution;

and agrees that the Expert Group on Technology Transfer, through the Subsidiary Body for Scientific and Technological Advice, should, based on the identification and analysis of existing and potential new financing resources and vehicles, assess gaps and barriers to the use of, and the access to, these financing resources; and that the results of this work (identification, analysis and assessment) should be made available to the Subsidiary Body for Implementation not later than its thirtieth session, with a view to considering the role of new financing mechanisms and tools for scaling up development and transfer of technologies;

3. *Requests* the Global Environment Facility, as an operational entity of the financial mechanism under the Convention, in consultation with interested Parties, international financial institutions, other relevant multilateral institutions and representatives of the private financial community, to elaborate a strategic programme to scale up the level of investment for technology transfer to help developing countries address their needs for environmentally sound technologies, specifically considering how such a strategic programme might be implemented along with its relationship to existing and emerging activities and initiatives regarding technology transfer and to report on its findings to the twenty-eighth session of the Subsidiary Body for Implementation for consideration by Parties;

4. *Requests* the Expert Group on Technology Transfer, as part of its future programme of work, to develop a set of performance indicators that could be used by the Subsidiary Body for Implementation to regularly monitor and evaluate the effectiveness of the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (the technology transfer framework), complemented with the set of actions set out in annex I to decision 3/CP.13, as referred to in paragraph 2 of that decision, considering the related work under the Convention and other relevant bodies; the results of this work should be made available to the subsidiary bodies for consideration at their thirtieth session, in order to make the final report of the Expert Group on Technology Transfer available to the Conference of the Parties at its fifteenth session;

5. *Agrees* that the issues concerning the implementation of Article 4, paragraph 5, of the Convention on the development and transfer of, or access to, environmentally sound technologies and know-how is a continuing process, and that, inter alia, the assessment of technologies, terms of access and technology needs of Parties will continue to be undertaken under the Convention, in order to ensure that further substantive progress is made;

6. *Urges* all Parties, and in particular developed country Parties, to provide technical and financial assistance, as appropriate, through existing and potential future bilateral and multilateral cooperative programmes to support the efforts of developing country Parties in implementing the set of actions referred to in paragraph 4 above;

7. *Requests* Parties to submit to the secretariat, by 15 February 2008, for synthesis and compilation, their views on elements for the terms of reference for the review and assessment of the effectiveness of the implementation of Article 4, paragraph 5, and Article 4, paragraph 1(c), in accordance with decision 13/CP.3;

8. *Invites* Parties in a position to do so to identify and designate their national entity for the development and transfer of technologies and to communicate this to the secretariat by the fourteenth session of the Conference of the Parties;

9. *Requests* the secretariat to facilitate the implementation of the technology transfer framework and of the work of the Expert Group on Technology Transfer, in cooperation with Parties, the Global Environment Facility and other relevant international organizations, initiatives and intergovernmental processes;

10. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support to developing countries for the implementation of the technology transfer framework, and complemented by the set of actions referred to in paragraph 4 above.

*8th plenary meeting
14–15 December 2007*

Decision 5/CP.13**Fourth Assessment Report of the
Intergovernmental Panel on Climate Change**

The Conference of the Parties,

Recalling paragraphs 3, 4 and 5 of decision 25/CP.7,

Having considered the recommendations of the Subsidiary Body for Scientific and Technological Advice at its twenty-seventh session,

1. *Welcomes* the Fourth Assessment Report of the Intergovernmental Panel on Climate Change;
2. *Expresses its appreciation and gratitude* to all those involved in the preparation of the Fourth Assessment Report of the Intergovernmental Panel on Climate Change for their excellent work;
3. *Recognizes* that the Fourth Assessment Report represents the most comprehensive and authoritative assessment of climate change to date, providing an integrated scientific, technical and socio-economic perspective on relevant issues;
4. *Urges* Parties to the Convention and invites Parties to the Kyoto Protocol to make use of the information contained in the Fourth Assessment Report in their discussions under all relevant agenda items, including those pertaining to the negotiations on future action on climate change;
5. *Further encourages* Parties to draw, as appropriate, on the information contained in the Fourth Assessment Report in the development of their national policies on climate change;
6. *Invites* the Intergovernmental Panel on Climate Change to continue to provide timely information to Parties on the latest scientific, technical and socio-economic aspects of climate change, including on mitigation and adaptation;
7. *Encourages* Parties to continue to support the work of the Intergovernmental Panel on Climate Change, including through contributions by Parties included in Annex I to the Convention and those in a position to do so to the Intergovernmental Panel on Climate Change Trust Fund.

*8th plenary meeting
14–15 December 2007*

Decision 6/CP.13

Fourth review of the financial mechanism

The Conference of the Parties,

Recalling decisions 3/CP.4 and 2/CP.12,

Noting the technical paper on the review of the experience of international funds, multilateral financial institutions and other sources of funding relevant to the current and future investment and financial needs of developing countries,¹

Noting further the report on the assessment of the funding necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in meeting their commitments under the Convention over the next Global Environment Facility replenishment cycle, taking into account paragraph 1 (a)–(d) of the annex to the memorandum of understanding between the Conference of the Parties and the Global Environment Facility Council (decision 12/CP.3),²

Noting the report on analysis of existing and potential investment and financial flows relevant to the development of an effective and appropriate international response to climate change,³

Keeping in mind the report on the dialogue on long-term cooperative action to address climate change by enhancing implementation of the Convention, note by the co-facilitators,⁴

Noting the reform agenda of the Global Environment Facility initiated by the recommendations for the fourth replenishment period,

1. *Decides* to adopt the additional guidelines for the review of the financial mechanism, as contained in the annex to this decision;

2. *Invites* Parties to submit to the secretariat, by 21 March 2008, for consideration by the Subsidiary Body for Implementation at its twenty-eighth session, their views on the following:

- (a) The technical paper on the review of the experience of international funds, multilateral financial institutions and other sources of funding relevant to the current and future investment and financial needs of developing countries;⁵
- (b) The report prepared by the secretariat, in collaboration with the Global Environment Facility secretariat, on the assessment of the funding necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in meeting their commitments under the Convention over the next Global Environment Facility replenishment cycle, taking into account paragraph 1 (a)–(d) of the annex to the memorandum of understanding

¹ FCCC/TP/2007/4.

² FCCC/SBI/2007/21.

³ <http://unfccc.int/files/cooperation_and_support/financial_mechanism/financial_mechanism_gef/application/pdf/dialogue_working_paper_8.pdf>.

⁴ FCCC/CP/2007/4, paragraphs 49–55.

⁵ FCCC/TP/2007/4.

between the Conference of the Parties and the Global Environment Facility Council (decision 12/CP.3);⁶

- (c) The report on the analysis of existing and potential investment and financial flows relevant to the development of an effective and appropriate international response to climate change;⁷
- (d) Options for scaling up the international financial response to climate change, based on national experiences and on available relevant documents;

3. *Requests* the secretariat to compile the views submitted by Parties referred to in paragraph 2 above and prepare a synthesis report for consideration by the Subsidiary Body for Implementation at its twenty-eighth session;

4. *Requests* the Subsidiary Body for Implementation to consider the submissions by Parties referred to in paragraph 2 above and recommend a draft decision for adoption by the Conference of the Parties at its fourteenth session on the assessment of the funding necessary to assist developing countries, in accordance with the guidance provided by the Conference of the Parties, in fulfilling their commitments under the Convention over the next Global Environment Facility replenishment cycle, taking into account paragraph 1 (a)–(d) of the annex to the memorandum of understanding between the Conference of the Parties and the Global Environment Facility Council (decision 12/CP.3), for consideration by the Global Environment Facility in its negotiations of the fifth replenishment of the Global Environment Facility;

5. *Requests* the Subsidiary Body for Implementation to continue consideration of the fourth review of the financial mechanism, on the basis of the guidelines contained in the annex to this decision and in the annex to decision 3/CP.4, with a view to recommending, in accordance with decision 2/CP.12, a draft decision on the review for adoption by the Conference of the Parties no later than at its fifteenth session.

⁶ FCCC/SBI/2007/21.

⁷ Dialogue working paper 8. 2007. Dialogue on long-term cooperative action to address climate change by enhancing implementation of the Convention, fourth workshop. Available at:
<http://unfccc.int/files/cooperation_and_support/financial_mechanism/financial_mechanism_gef/application/pdf/dialogue_working_paper_8.pdf>.

ANNEX

Additional guidelines for the review of the financial mechanism**A. Objectives**

1. In accordance with Article 11 of the Convention, an additional objective of the review of the financial mechanism is to examine how to facilitate consistency in financing activities and how to improve the complementarity of the financial mechanism with other sources of investment and financial flows, including:

- (a) Examining relevant sources and means of financing, as indicated in Article 11, paragraph 5, of the Convention, that would assist developing countries to contribute to the achievement of the objective of the Convention, in particular innovative means of financing, such as for the development of endogenous technologies in developing countries;
- (b) Examining the role of the financial mechanism in scaling up the level of resources;
- (c) Assessing enabling environments for catalysing investment in, and the transfer of, sustainable technologies that mitigate greenhouse gas emissions, and for enhancing resilience to climate change.

B. Methodology

2. The review shall draw upon the following additional sources of information:

- (a) Technical papers and reports prepared by the secretariat upon the request of the Conference of the Parties, which are relevant to the financial needs of developing countries under the Convention;
- (b) Information contained in the national communications of Parties to the Convention, technology needs assessments and national adaptation programmes of action;
- (c) All relevant information provided by other intergovernmental and non-governmental organizations, including in particular the Assessment Reports of the Intergovernmental Panel on Climate Change, as well as information on enabling environments for catalysing investment in, and the transfer of, sustainable technologies that mitigate greenhouse gas emissions and for enhancing resilience to climate change;
- (d) Relevant information available on private-sector financing and investment for climate change activities.

*8th plenary meeting
14–15 December 2007*

Decision 7/CP.13

Additional guidance to the Global Environment Facility

The Conference of the Parties,

Recalling Article 3, Article 4, paragraphs 1, 3, 4, 5, 7, 8 and 9, Article 11 and Article 12, paragraphs 3, 4 and 7, of the Convention,

Also recalling decisions 13/CP.1, 10/CP.2, 11/CP.2, 12/CP.2, 12/CP.3, 1/CP.4, 2/CP.4, 8/CP.5, 2/CP.7, 3/CP.7, 6/CP.7, 7/CP.7, 5/CP.8, 6/CP.8, 7/CP.8, 3/CP.9, 4/CP.9, 9/CP.9, 8/CP.10, 5/CP.11 and 3/CP.12,

Noting the report of the Global Environment Facility to the Conference of the Parties,¹

1. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:

- (a) To continue to take the necessary steps to enhance its country dialogues, including ensuring the clarity, transparency and timeliness in its communications with Parties on changes undertaken in the Global Environment Facility reform agenda;
- (b) To inform the implementing/executing agencies of the Global Environment Facility of the relevant Convention provisions and decisions of the Conference of Parties in the performance of their Global Environment Facility obligations, and to encourage them, as a first priority, whenever possible, to use national experts/consultants in all aspects of project development and implementation;
- (c) To continue to simplify and streamline the application of the incremental cost principle, building on its recent reforms and taking into account lessons learned on the constraints in resource mobilization by developing countries;
- (d) To take fully into account lessons learned in the strategic priority “Piloting an Operational Approach to Adaptation”, including the application of incremental cost, to help inform on how the Global Environment Facility could best support climate adaptation activities;
- (e) To continue to improve access to Global Environment Facility funds, as highlighted in the Third Overall Performance Study of the Global Environment Facility,² for those countries that are particularly vulnerable to the adverse effects of climate change;
- (f) To submit the report of the Global Environment Facility to the Conference of the Parties within a time frame that would allow Parties to the Convention to examine the report carefully prior to the start of the sessions of the Conference of the Parties;

¹ FCCC/CP/2007/3 and Corr.1.

² “OPS3: Progressing Toward Environmental Results – Third Overall Performance Study of the Global Environment Facility, Executive Version”, GEF, June 2005.

- (g) To continue to ensure that financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention;
- (h) To take into consideration the request contained in paragraph 1 (g) above in its planned mid-term review in 2008;
- (i) To work with its implementing agencies to continue to simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention (non-Annex I Parties) receive funding to meet their obligations under Article 12, paragraph 1, of the Convention, with the aim of ensuring the timely disbursement of funds to meet the agreed full costs incurred by developing country Parties in complying with these obligations;
- (j) To refine, as appropriate, operational procedures to ensure the timely disbursement of funds to meet the agreed full costs incurred by those non-Annex I Parties that are in the process of preparing their third and, where appropriate, fourth national communications, in the light of paragraph 1 (g)–(i) above;
- (k) To assist, as appropriate, non-Annex I Parties in formulating and developing project proposals identified in their national communications in accordance with Article 12, paragraph 4, of the Convention and decision 5/CP.11, paragraph 2;
- (l) To ensure, together with its implementing agencies, that the analysis of project proposals for the financing of second and subsequent national communications is consistent with the guidelines for the preparation of national communications from non-Annex I Parties;³

2. *Invites* the Global Environment Facility:

- (a) To continue to provide information on funding for projects identified in the national communications of non-Annex I Parties⁴ in accordance with Article 12, paragraph 4, of the Convention and subsequently submitted and approved;
- (b) To consider the views of, and any concerns expressed by, Parties regarding their current experiences with the Global Environment Facility and its implementing agencies in relation to the provision of financial support for the preparation of national communications from non-Annex I Parties, as contained in documents FCCC/SBI/2007/MISC.13 and Add.1;

3. *Requests* the Global Environment Facility to include, in its regular report to the Conference of the Parties, information on the specific steps it has taken to implement the guidance contained in paragraphs 1 and 2 above;

³ The current guidelines are contained in decision 17/CP.8.

⁴ Decision 5/CP.11, paragraph 2.

4. *Requests* the Global Environment Facility to continue to provide, as appropriate, financial resources to developing country Parties, in particular the least developed countries and small island developing States among them, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9 and 7/CP.10, to support the implementation of the New Delhi work programme on Article 6 of the Convention and to regularly report to the Conference of the Parties on the activities it has supported.

*8th plenary meeting
14–15 December 2007*

Decision 8/CP.13

Extension of the mandate of the Least Developed Countries Expert Group

The Conference of the Parties,

Recalling decisions 5/CP.7, 29/CP.7, 7/CP.9, 4/CP.10 and 4/CP.11,

Recognizing the specific needs and special situation of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Having considered the twelfth report on the work of the Least Developed Countries Expert Group¹ and the report of the Least Developed Countries Expert Group stocktaking meeting on the progress made by Parties in the preparation and implementation of national adaptation programmes of action,²

Expressing its appreciation to the Least Developed Countries Expert Group for its good work in implementing its work programme for 2006–2007, supporting the preparation of national adaptation programmes of action and of conducting the stocktaking meeting,

1. *Decides* to extend the mandate of the Least Developed Countries Expert Group under the terms of reference adopted by decision 29/CP.7;
2. *Requests* the Least Developed Countries Expert Group, serving in an advisory capacity to the least developed countries, to develop a work programme that contains its objectives, activities and expected outcomes and takes into account the results of the stocktaking meeting and the Nairobi work programme on impacts, vulnerability and adaptation to climate change, for consideration by the Subsidiary Body for Implementation at its twenty-eighth session;
3. *Decides* that, consistent with decision 7/CP.9, paragraph 2, new experts may be nominated to the Least Developed Countries Expert Group, or existing members of the group may continue in office, as determined by the respective regions or groups;
4. *Decides further* that the Least Developed Countries Expert Group, taking into account the initiation of implementation of the national adaptation programmes of action, may invite, when deemed necessary, the Global Environment Facility and its agencies to its meetings;
5. *Requests* the secretariat to continue to facilitate the work of the Least Developed Countries Expert Group;
6. *Decides* to review, at its sixteenth session, the progress, need for continuation and terms of reference of the group, and to adopt a decision thereon.

*8th plenary meeting
14–15 December 2007*

¹ FCCC/SBI/2007/31.

² FCCC/SBI/2007/32.

Decision 9/CP.13

Amended New Delhi work programme on Article 6 of the Convention

The Conference of the Parties,

Recalling Articles 2, 3, 4 and 6 of the Convention,

Recalling also decision 11/CP.8,

Having considered the recommendations of the Subsidiary Body for Implementation at its twenty-seventh session,

1. *Decides* to adopt the amended New Delhi work programme on Article 6 of the Convention as contained in the annex to this decision and to extend it for five years;
2. *Decides* to undertake a review of the work programme in 2012, with an intermediate review of progress in 2010, to evaluate its effectiveness and identify any emerging gaps and needs;
3. *Requests* Parties to prepare reports (as part of their national communications, where possible) on their efforts to implement the work programme and to share information on their experiences and best practices for the purpose of reviewing the programme in 2010 and 2012;
4. *Encourages* intergovernmental and non-governmental organizations to continue their activities relevant to Article 6 and to share information on their programmatic responses to the work programme through the information network clearing house and other media;
5. *Requests* the Global Environment Facility to continue to provide, as appropriate, financial resources to Parties not included in Annex I to the Convention (non-Annex I Parties), in particular the least developed countries and small island developing States among them, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9 and 7/CP.10, to support the implementation of the work programme and to regularly report to the Conference of the Parties on the activities it has supported;
6. *Requests* the secretariat to encourage other intergovernmental organizations in a position to do so to provide technical or financial support, and to promote partnerships with other organizations and the private sector, in order to support the implementation of the work programme;
7. *Encourages* multilateral and bilateral organizations to support the activities relating to the implementation of Article 6 and its work programme in non-Annex I Parties, in particular the least developed countries and small island developing States among them.

ANNEX

Amended New Delhi work programme on Article 6 of the Convention**A. Observations**

1. The implementation of all elements of Article 6 of the Convention, including education, training, public awareness, public participation, public access to information and international cooperation, will contribute to meeting the objective of the Convention.
2. All Parties, taking into account their common but differentiated responsibilities, are responsible for the implementation of Article 6 of the Convention. The capacity to implement Article 6 activities will vary among countries, as will the priority thematic areas and target audiences, consistent with their sustainable development priorities and the culturally preferred method of programme delivery, in order to increase people's understanding of the climate change issue.
3. Regional, subregional and international cooperation can enhance the collective ability of Parties to implement the Convention, improve synergies, avoid duplication of effort between the different conventions, and ultimately both improve the effectiveness of programming and facilitate its support.
4. It is important to learn more from countries regarding the needs and gaps in their Article 6 activities, so that Parties and intergovernmental and non-governmental organizations that have the resources to do so might effectively target their efforts at providing appropriate support.
5. Many Parties, intergovernmental organizations, non-governmental organizations and community-based organizations, as well as the private and public sectors, are already working actively to raise awareness on, and increase understanding of, the causes and impacts of climate change, as well as solutions. In particular, many governments are already implementing measures that could be linked to Article 6 activities. However, the lack of adequate financial and technical resources could inhibit some Parties' efforts to implement such activities, in particular developing country Parties.
6. The nature of Article 6 activities carried out by Parties can easily be reported. However, measuring or quantifying the impacts of these activities may be more challenging.

B. Purposes and guiding principles

7. The present work programme sets out the scope of, and provides the basis for action on, activities related to Article 6, in accordance with the provisions of the Convention. It should serve as a flexible framework for country-driven action addressing the specific needs and circumstances of Parties, and reflecting their national priorities and initiatives.
8. The Article 6 work programme builds on existing decisions of the Conference of the Parties, specifically the Marrakesh Accords, which contain a number of references to Article 6 activities, in particular decisions 2/CP.7 and 3/CP.7 on capacity-building in developing countries and in countries with economies in transition, 4/CP.7 on development and transfer of technologies, and 5/CP.7 on implementation of Article 4, paragraphs 8 and 9.
9. The Article 6 work programme shall be guided by:
 - (a) A country-driven approach;
 - (b) Cost-effectiveness;

- (c) A phased approach integrating Article 6 activities into existing climate change programmes and strategies;
- (d) Promotion of partnerships, networks and synergies, in particular, synergies between conventions;
- (e) An interdisciplinary approach;
- (f) A holistic, systematic approach;
- (g) The principles of sustainable development.

C. Scope of the amended New Delhi work programme

10. As part of their national programmes to implement the Convention, and taking into account national circumstances and capacities, Parties are encouraged to undertake activities under the categories listed below, which reflect the six elements of Article 6.

Education

11. In order to advance implementation of Article 6 of the Convention, it is useful to cooperate in, promote, facilitate, develop and implement education and training programmes focused on climate change, targeting youth in particular, and including exchange or secondment of personnel to train experts.

Training

12. In order to advance implementation of Article 6 of the Convention, it is useful to cooperate in, promote, facilitate, develop and implement training programmes focused on climate change, for scientific, technical and managerial personnel at the national and, as appropriate, subregional, regional and international levels. Technical skills and knowledge provide an opportunity to adequately address and respond to climate change issues.

Public awareness

13. In order to advance implementation of Article 6 of the Convention, it is useful to cooperate in, promote, facilitate, develop and implement public awareness programmes on climate change and its effects at the national and, as appropriate, subregional, regional and international levels by, inter alia, encouraging contributions and personal action in addressing climate change, supporting climate-friendly policies and fostering behavioural changes, including by using popular media.

Public access to information

14. In order to advance the implementation of Article 6 of the Convention, it is useful to facilitate public access to data and information, by providing the information on climate change initiatives, policies and results of actions that is needed by the public and other stakeholders to understand, address and respond to climate change, taking into account local and national circumstances such as quality of Internet access, literacy and language issues.

Public participation

15. In order to advance the implementation of Article 6 of the Convention, it is useful to promote public participation in addressing climate change and its effects and in developing adequate responses, by facilitating feedback, debate and partnership in climate change activities and in governance.

International cooperation

16. Subregional, regional and international cooperation in undertaking activities within the scope of the work programme can enhance the collective ability of Parties to implement the Convention, and the efforts of intergovernmental and non-governmental organizations can also contribute to its implementation. Such cooperation can further enhance synergies between conventions and improve the effectiveness of all sustainable development efforts.

D. ImplementationParties

17. As part of their national programmes and activities in implementing the Convention, and within the scope of the Article 6 work programme, Parties, taking into account their common but differentiated responsibilities and their specific national and regional development priorities and capacities, could, inter alia:

- (a) Develop institutional and technical capacity to identify gaps and needs for the implementation of Article 6, assess the effectiveness of Article 6 activities and consider the linkages between Article 6 activities, implementation of policies and measures to mitigate and adapt to climate change, and other commitments under the Convention, such as technology transfer and capacity-building;
- (b) Prepare assessments of needs specific to national circumstances in the area of the implementation of Article 6, including the use of social research methods and other relevant instruments to determine target audiences and potential partnerships;
- (c) Prepare a national Article 6 plan of action, which could be structured according to the six (or fewer, as appropriate) elements. Each element could have a primary goal, suggested activities, targets and actors. Suggested activities could target specific needs of various population groups (youth, business persons, mass media, decision makers, etc.), and clear time frames and milestones could be defined;
- (d) Designate, and provide support, including technical and financial support, and access to information and materials to, a national focal point for Article 6 activities and assign specific responsibilities. These responsibilities could include the identification of areas for possible international cooperation and opportunities for strengthening synergies with other conventions, and the coordination of the preparation of the Article 6 chapter in the national communications, ensuring that relevant contact information, including website addresses, is provided therein;
- (e) Develop a directory of organizations and individuals, with an indication of their experience and expertise relevant to Article 6 activities, with a view to building active networks involved in the implementation of these activities;
- (f) Develop criteria for identifying and disseminating information on good practices for Article 6 activities, in accordance with national circumstances;
- (g) Increase the availability of copyright-free and translated climate change materials, in accordance with laws and standards relating to the protection of copyrighted materials;
- (h) Promote and enhance the inclusion of climate change in school curricula at all levels and across disciplines. Efforts could be made to develop materials, and promote teacher-

training focused on climate change at the regional and international levels where appropriate;

- (i) Conduct surveys, such as 'knowledge-attitude-practice/behaviour' surveys, to establish a baseline of public awareness, which can serve as a basis for further work and support monitoring of the impact of activities;
- (j) Seek opportunities to disseminate widely relevant information on climate change. Measures could include translation into appropriate languages and distribution of popularized versions of the Intergovernmental Panel on Climate Change Fourth Assessment Report and other key documents on climate change;
- (k) Seek input and public participation, including participation by youth and other groups, in the formulation and implementation of efforts to address climate change and encourage the involvement and participation of representatives of all stakeholders and major groups in the climate change negotiation process;
- (l) Inform the public about causes of climate change and sources of greenhouse gas emissions, as well as actions that can be taken at all levels to address climate change;
- (m) Share the findings contained in their national communications and national action plans or domestic programmes on climate change with the general public and all stakeholders.

18. In developing and implementing Article 6 activities, Parties should seek to enhance cooperation and coordination at international and regional levels, including the identification of partners and networks with other Parties, intergovernmental and non-governmental organizations, the private sector, state and local governments, and community-based organizations, and to promote and facilitate the exchange of information and material, and the sharing of experience and good practices.

Regional and international efforts

19. To strengthen regional and international efforts, Parties and other relevant organizations and agencies in a position to do so could cooperate in and support the following activities:

- (a) Promote awareness of regional and subregional needs and concerns;
- (b) Strengthen existing regional institutions and networks;
- (c) Promote and encourage regional programmes and projects that support the implementation of Article 6 and promote sharing of experiences including through the dissemination of best practices and lessons learned, and the exchange of information and data;
- (d) Create regional portals for the information network clearing house (CC:iNet), in collaboration with regional centres of excellence, to further develop and enhance the functionality and user-friendliness of the clearing house;
- (e) Develop regional programmes and activities, including preparation of training and education materials as well as other tools, using local languages where applicable and practical;
- (f) Conduct regional and subregional workshops to promote: exchange and sharing of experiences; best practices; and transfer of knowledge and skills.

Intergovernmental organizations

20. Intergovernmental organizations, including convention secretariats, are invited, inter alia:
- (a) To continue supporting efforts to implement activities under Article 6 through their regular programmes, and through specific programmes focused on climate change, including, as appropriate, through the provision and dissemination of information and resource materials, such as diagrams that could easily be translated and adapted, as well as through the provision of financial and technical support;
 - (b) To strengthen collaboration with, and enhance involvement of, other intergovernmental and non-governmental organizations, with a view to ensuring coordinated support to Parties in their activities related to Article 6 and avoiding duplication of work.

Non-governmental organizations

21. Non-governmental organizations are encouraged to continue their activities relating to Article 6 and are invited to consider ways to enhance cooperation between non-governmental organizations from Parties included in Annex I to the Convention and those from Parties not included in Annex I to the Convention, as well as collaboration on activities between intergovernmental organizations, non-governmental organizations, and governments.

Support

22. Parties will need to determine the most efficient and cost-effective way to implement Article 6 activities, and are encouraged to create partnerships with other Parties, as well as intergovernmental and non-governmental organizations and relevant stakeholders, to facilitate the implementation of these activities, including the identification of priority areas for support and funding.
23. As initial priorities, the implementation of the work programme will require the strengthening of national institutions and capacities, in particular in developing countries.

Review of progress and reporting

24. The Conference of the Parties, through the Subsidiary Body for Implementation, will undertake a review of progress in the implementation of this work programme by 2012, with an intermediate review of progress in 2010.
25. All Parties are requested to report in their national communications, where possible, and in other reports, on their accomplishments, lessons learned, experiences gained, and remaining gaps and barriers observed.
26. Parties and relevant organizations are encouraged to share information on the implementation of the work programme through CC:iNet, in addition to formal reporting channels such as national communications.
27. Intergovernmental organizations are invited to develop programmatic responses to the Article 6 work programme and, following consultations with the UNFCCC secretariat, to communicate to the Subsidiary Body for Implementation through the secretariat the responses and progress achieved, for the purpose of reviewing the programme and evaluating its effectiveness in 2010 and 2012.

28. Non-governmental organizations are invited to provide relevant information to the secretariat and in accordance with their national circumstances, informing and involving their national focal point as appropriate, on progress achieved for the purpose of reviewing the Article 6 work programme and evaluating its effectiveness in 2010 and 2012.

Role of the secretariat

29. In accordance with Article 8 of the Convention, the secretariat is requested to facilitate efforts under the Article 6 work programme and, in particular:

- (a) To prepare reports to the Subsidiary Body for Implementation on progress achieved by Parties in implementing Article 6, based on information contained in national communications and other sources of information. These reports will be issued regularly, and in particular for the interim progress review in 2010 and the review in 2012;
- (b) To mobilize relevant organizations and facilitate coordinated inputs into the five-year Article 6 work programme from these organizations;
- (c) To organize thematic regional and subregional workshops to share lessons learned and best practices, in collaboration with relevant partners, and prior to the intermediate review of the work programme in 2010, subject to availability of funds;
- (d) To further enhance the usefulness and relevance of CC:iNet, in line with the evaluation report of the clearing house,¹ and facilitate dissemination of information from CC:iNet and other sources.

*8th plenary meeting
14–15 December 2007*

¹ FCCC/SBI/2007/26.

Decision 10/CP.13

Compilation and synthesis of fourth national communications

The Conference of the Parties,

Recalling Article 4, paragraph 2(a) and (b), Article 12 and other relevant provisions of the Convention,

Further recalling decisions 2/CP.1, 3/CP.1, 6/CP.3, 11/CP.4, 4/CP.5, 26/CP.7, 33/CP.7, 4/CP.8, 1/CP.9 and 7/CP.11,

Emphasizing that the national communications and annual greenhouse gas inventories submitted by Parties included in Annex I to the Convention are the main source of information for reviewing the implementation of the Convention by these Parties, and that the reports from the in-depth reviews of these national communications provide important additional information for this purpose,

Welcoming the work of the secretariat in preparing the compilation and synthesis report on fourth national communications,¹

1. *Urges* Parties included in Annex I to the Convention (Annex I Parties) that have not submitted their national communications in accordance with decision 4/CP.8 to do so as a matter of priority;
2. *Requests* Annex I Parties to submit to the secretariat a fifth national communication by 1 January 2010 in accordance with Article 12, paragraphs 1 and 2 of the Convention, with a view to submitting the sixth national communication four years after this date;
3. *Concludes* that the review of the national communications and consideration of the outcomes of this review have proved to be useful and should continue in accordance with decisions 2/CP.1, 6/CP.3 and 11/CP.4;
4. *Decides* that national communications can be submitted to the secretariat in electronic format only;
5. *Decides* to consider the date of submission of sixth national communications of Annex I Parties at its fifteenth session to be held in December 2009 at the latest.

*8th plenary meeting
14–15 December 2007*

¹ FCCC/SBI/2007/INF.6 and Add.1 and 2.

Decision 11/CP.13

Reporting on global observing systems for climate

The Conference of the Parties,

Recalling decisions 4/CP.5, 5/CP.5, 11/CP.9 and 5/CP.10,

Noting the need to revise the “UNFCCC reporting guidelines on global climate change observing systems”¹ in order to reflect the priorities of the Global Climate Observing System implementation plan and incorporate the reporting on essential climate variables,

Recognizing the proposals made by the secretariat of the Global Climate Observing System,

Having considered the recommendations of the Subsidiary Body for Scientific and Technological Advice on this matter at its twenty-third, twenty-fifth and twenty-seventh sessions,²

1. *Adopts* the revised UNFCCC reporting guidelines on global climate change observing systems as contained in the annex to this decision;³

2. *Decides* that these revised guidelines should take effect immediately for the preparation of detailed technical reports on systematic observations in accordance with the provisions of decisions 4/CP.5 and 5/CP.5;

3. *Requests* Parties included in Annex I to the Convention to continue providing such reports in conjunction with their national communications;

4. *Invites* Parties not included in Annex I to the Convention to provide such reports on a voluntary basis.

*8th plenary meeting
14–15 December 2007*

¹ See decision 5/CP.5 and document FCCC/CP/1999/7, chapter III.

² FCCC/SBSTA/2005/10, paragraph 97; FCCC/SBSTA/2006/11, paragraph 95; and FCCC/SBSTA/2007/16, paragraph 35.

³ For ease of reference, the annex containing the revised UNFCCC reporting guidelines can be found in document FCCC/CP/2007/6/Add.2.

Decision 12/CP.13

Budget performance and the functions and operations of the secretariat

The Conference of the Parties,

Having considered the information in documents prepared by the secretariat on administrative, financial and institutional matters,¹

Recalling paragraphs 11 and 19 of the financial procedures for the Conference of the Parties adopted in decision 15/CP.1,

I. Budget performance for the biennium 2006–2007

1. *Takes note* of the interim financial statements as at 31 December 2006, the report on budget performance for the period 1 January 2006 to 30 June 2007 and the status of contributions to the Trust Fund for the Core Budget, the Trust Fund for Supplementary Activities and the Trust Fund for Participation in the UNFCCC Process, as at 15 November 2007;

2. *Calls upon* Parties that have not paid their 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;

3. *Expresses appreciation* to Parties that have paid their contributions to the core budget in a timely manner;

4. *Also expresses appreciation* for the contributions received from Parties to the Trust Fund for Participation in the UNFCCC Process and for contributions to the Trust Fund for Supplementary Activities;

5. *Encourages* Parties to increase their efforts to contribute to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities in the light of the increased work for which provisions are not made in the core budget;

6. *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 to the secretariat;

II. Continuing review of the functions and operations of the secretariat

7. *Notes* the information relating to the functions and operations of the secretariat as contained in several documents, particularly in document FCCC/SBI/2007/19;

8. *Agrees* that the Subsidiary Body for Implementation should consider this matter at its twenty-ninth session, in keeping with its decision taken at its twenty-first session to continue to consider this matter annually.²

*8th plenary meeting
14–15 December 2007*

¹ FCCC/SBI/2007/19, FCCC/SBI/2007/INF.1 and FCCC/SBI/2007/INF.11.

² FCCC/SBI/2004/19, paragraph 105.

Decision 13/CP.13

Programme budget for the biennium 2008–2009

The Conference of the Parties,

Recalling paragraph 4 of the financial procedures for the Conference of the Parties to the United Nations Framework Convention on Climate Change,¹

Having considered the proposed programme budget for the biennium 2008–2009 submitted by the Executive Secretary,²

1. *Approves* the programme budget for the biennium 2008–2009, amounting to USD 54,031,584 (EUR 41,172,068) for the purposes specified in table 1 below;
2. *Notes with appreciation* the annual contribution of the Host Government, EUR 766,938, which offsets planned expenditures;
3. *Approves* a drawing of USD 2 million from the unspent balances or contributions (carry-over) from previous financial periods to cover part of the 2008–2009 budget;
4. *Approves* the staffing table (table 2 below) for the programme budget;
5. *Notes* that the programme budget contains elements relating to the Convention as well as to the Kyoto Protocol;
6. *Adopts* the indicative scale of contributions for 2008 and 2009 contained in the annex to this decision, covering 63.2 per cent of the indicative contributions specified in table 1 below;
7. *Invites* the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, at its third session, to endorse the elements of the recommended budget as it applies to the Kyoto Protocol;
8. *Approves* a contingency budget for conference services, amounting to USD 7,710,600, to be added to the programme budget for the biennium 2008–2009 in the event that the United Nations General Assembly decides not to provide resources for these activities in the United Nations regular budget (see table 3 below);
9. *Invites* the United Nations General Assembly to decide at its sixty-second session on the issue of meeting the conference services expenses from its regular budget;
10. *Requests* the Executive Secretary to report to the Subsidiary Body for Implementation on the implementation of paragraph 8 above, as necessary;
11. *Authorizes* the Executive Secretary to make transfers between each of the main appropriation lines set out in table 1 below, up to an aggregate limit of 15 per cent of total estimated expenditure for those appropriation lines, provided that a further limitation of up to minus 25 per cent of each such appropriation line shall apply;
12. *Decides* to maintain the level of the working capital reserve at 8.3 per cent of the estimated expenditure;

¹ Decision 15/CP.1, annex I.

² FCCC/SBI/2007/8 and Add.1 and 2.

13. *Invites* all Parties to the Convention to note that contributions to the core budget are due on 1 January of each year in accordance with paragraph 8 (b) of the financial procedures and to pay promptly and in full, for each of the years 2008 and 2009, the contributions required to finance expenditures approved under paragraph 1 above, as offset by the contributions noted in paragraph 2 above, and any contributions required to finance the expenditures arising from the decisions referred to in paragraph 8 above;

14. *Takes note* of the funding estimates for the Trust Fund for Participation in the UNFCCC Process specified by the Executive Secretary (USD 5,650,000 for the biennium 2008–2009) (see table 4 below), and invites Parties to make contributions to this fund;

15. *Takes note* of the funding estimates for the Trust Fund for Supplementary Activities specified by the Executive Secretary (USD 19,930,187 for the biennium 2008–2009) (see table 5 below) and invites Parties to make contributions to this fund;

16. *Requests* the Executive Secretary to report to the Conference of the Parties at its fourteenth session on income and budget performance, and to propose any adjustments that might be needed in the programme budget for the biennium 2008–2009;

17. *Requests* the Executive Secretary, when drafting future budget proposals, to present the budget in the format and at the level of detail provided in the previous biennium,³ and submit the proposals in a timely manner.

³ FCCC/SBI/2005/8 and Add.1.

Table 1. Core programme budget for 2008–2009 by programme

Expenditure	2008	2009	Total 2008–2009	
	(USD)	(USD)	(USD)	(EUR ^a)
A. Programme appropriations^b				
EDM	2 121 798	2 161 693	4 283 491	3 264 020
RDA	4 624 557	4 541 167	9 165 724	6 984 282
FTS	2 848 304	2 919 524	5 767 828	4 395 085
ATS	2 846 267	2 905 301	5 751 568	4 382 695
SDM	1 371 438	1 411 333	2 782 771	2 120 472
LA	1 950 152	1 990 047	3 940 199	3 002 432
DES	761 007	761 007	1 522 014	1 159 775
CAS	1 610 290	1 644 377	3 254 667	2 480 056
IS	4 153 567	3 951 331	8 104 898	6 175 932
AS ^c	--	--	--	--
B. Secretariat-wide operating costs^d	1 607 266	1 607 250	3 214 516	2 449 461
Programme expenditures (A + B)	23 894 646	23 893 030	47 787 676	36 414 210
C. Programme support costs (overheads) ^e	3 106 304	3 106 094	6 212 398	4 733 847
D. Working capital reserve ^f	31 510	0	31 510	24 011
TOTAL (A + B + C + D)	27 032 460	26 999 124	54 031 584	41 172 068
Income				
Contribution from the Host Government ^g	1 006 480	1 006 480	2 012 961	1 533 876
Unspent balances or contributions from previous financial periods (carry-over)	1 000 000	1 000 000	2 000 000	1 524 000
Indicative contributions	25 025 980	24 992 644	50 018 623	38 114 192
TOTAL INCOME	27 032 460	26 999 124	54 031 584	41 172 068

^a The exchange rate used (USD 1 = EUR 0.762) represents the average rate for the period January–March 2007.

^b Programmes: EDM, Executive Direction and Management; RDA, Reporting, Data and Analysis; FTS, Financial and Technical Support; ATS, Adaptation, Technology and Science; SDM, Sustainable Development Mechanisms; LA, Legal Affairs; DES, Office of the Deputy Executive Secretary; CAS, Conference Affairs Services; IS, Information Services; and AS, Administrative Services.

^c AS is funded by overheads.

^d Secretariat-wide operating costs are managed by AS.

^e Standard 13 per cent applied by the United Nations for administrative support.

^f In accordance with financial procedures (decision 15/CP.1, annex I, para. 14), the working capital reserve will be brought up to USD 2,303,578 in 2008 and maintained at that level in 2009.

^g Equivalent to EUR 766,938, based on the average exchange rate for the period January–March 2007.

Table 2. Secretariat-wide staffing from the core budget in the biennium 2008–2009

	2008	2009
Professional category and above^a		
ASG	1	1
D-2	3	3
D-1	6	6
P-5	12	12
P-4	24	24
P-3	32	32
P-2	10	10
Total Professional category and above	88	88
Total General Service category	52.5	53.5
TOTAL	140.5^b	141.5^b

^a Assistant Secretary-General (ASG); Director (D); Professional (P).

^b Two D-1 positions and one P-3 position are to be frozen.

**Table 3. Resource requirements for the conference services contingency
in the biennium 2008–2009**
(thousands of United States dollars)

Object of expenditure	2008	2009	Total 2008–2009
Interpretation ^a	1 015.3	1 045.8	2 061.1
Documentation ^b			
Translation	1 500.2	1 545.2	3 045.4
Reproduction and distribution	464.4	478.4	942.8
Meetings services support ^c	245.6	253.0	498.6
Subtotal	3 225.5	3 322.3	6 547.8
Programme support costs	419.3	431.9	851.2
Working capital reserve	302.5	9.1	311.6
TOTAL	3 947.4	3 763.3	7 710.6

Note: Assumptions used for calculating the conference services contingency budget include the following:

- The expected number of meetings with interpretation does not exceed 40 per session;
- The expected documentation volume is based on average output in the period 1997–2006 and on projections for the additional reporting requirements arising in 2008–2009, assuming about 1,600 pages annually for translation and revision, and a total of about 5,100 pages annually for reproduction and distribution; the number of copies produced per page is assumed to be about 2,000 for general and about 100 for limited distribution;
- Meetings services support includes staff normally provided by United Nations Office at Geneva conference services for the in-session coordination and support of interpretation, translation and reproduction services;
- Overall, the figures used are conservative and have been applied on the assumption that there will be no major increase in requirements during the biennium.

^a Includes salaries, travel and daily subsistence allowance for interpreters.

^b Includes all costs relating to the processing of pre-, in- and post-session documentation; translation costs include revision and typing of documents.

^c Includes salaries, travel and daily subsistence allowance for meetings services support staff and costs for shipment and telecommunications.

Table 4. Resource requirements for the Trust Fund for Participation in the UNFCCC Process in the biennium 2008–2009
(thousands of United States dollars)

Object of expenditure	2008	2009
Support for one delegate from each eligible Party to participate in two two-week sessions per year ^a	1 700.0	1 700.0
Support for a second delegate from each least developed country and each small island developing State to participate in two two-week sessions per year ^{a, b}	800.0	800.0
Subtotal	2 500.0	2 500.0
Programme support costs	325.0	325.0
TOTAL	2 825.0	2 825.0

^a One two-week session of the subsidiary bodies and one two-week session of the Conference of the Parties, Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and subsidiary bodies.

^b Support to participation of least developed countries and small island developing States in accordance with decision 16/CP.9, paragraph 18.

**Table 5. Resource requirements for the Trust Fund for Supplementary Activities
in the biennium 2008–2009**

Activities to be undertaken by the secretariat	Cost (USD)	Cost (EUR)^a
Convention		
Greenhouse gas emissions inventory database and software support for the review process	1 193 168	909 194
Support to national communications from Parties not included in Annex I to the Convention and the Consultative Group of Experts	353 688	269 510
Support to the Least Developed Countries Expert Group in 2008–2009	947 196	721 763
Support to the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, and of any further action in the context of decision 1/CP.10	1 712 584	1 304 989
Support to the implementation of the technology transfer framework and the work of the Expert Group on Technology Transfer or its successor	1 209 792	921 862
Analytical and methodological work	989 292	753 841
Update of the Handbook on the United Nations Framework Convention on Climate Change	217 000	165 354
Subtotal	6 622 720	5 046 513
Kyoto Protocol		
Development and maintenance of the database system for the annual compilation and accounting of emissions inventories and assigned amounts under the Kyoto Protocol	881 376	671 609
Support to operations relating to joint implementation	3 982 460	3 034 635
Support to the Compliance Committee	695 650	530 085
Subtotal	5 559 486	4 236 328
Convention and Kyoto Protocol		
Activities to support the expert review process under the Convention and its Kyoto Protocol: training for expert teams and meetings of lead reviewers	711 792	542 386
Support to additional mandates relating to financial cooperation	1 137 584	866 839
Support to capacity-building for developing countries	832 792	634 588
Support to the implementation of Article 6 of the Convention	703 000	535 686
Support to information outreach	968 376	737 903
Spanish/French portal on the UNFCCC website	150 000	114 300
Business continuity and disaster recovery plan implementation	951 584	725 107
Subtotal	5 455 128	4 156 808
Total estimated expenditures	17 637 334	13 439 649
Programme support costs (13 per cent)	2 292 853	1 747 154
GRAND TOTAL	19 930 187	15 186 803

^a The exchange rate used (USD 1 = EUR 0.762) represents the average rate for the period January–March 2007.

ANNEX

Indicative scale of contributions from Parties to the Convention for the biennium 2008–2009

Party	United Nations scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2009
Afghanistan	0.001	0.001	0.001
Albania	0.006	0.006	0.006
Algeria	0.085	0.083	0.083
Angola	0.003	0.003	0.003
Antigua and Barbuda	0.002	0.002	0.002
Argentina	0.325	0.317	0.317
Armenia	0.002	0.002	0.002
Australia	1.787	1.743	1.743
Austria	0.887	0.865	0.865
Azerbaijan	0.005	0.005	0.005
Bahamas	0.016	0.016	0.016
Bahrain	0.033	0.032	0.032
Bangladesh	0.010	0.010	0.010
Barbados	0.009	0.009	0.009
Belarus	0.020	0.020	0.020
Belgium	1.102	1.075	1.075
Belize	0.001	0.001	0.001
Benin	0.001	0.001	0.001
Bhutan	0.001	0.001	0.001
Bolivia	0.006	0.006	0.006
Bosnia and Herzegovina	0.006	0.006	0.006
Botswana	0.014	0.014	0.014
Brazil	0.876	0.854	0.854
Bulgaria	0.020	0.020	0.020
Burkina Faso	0.002	0.002	0.002
Burundi	0.001	0.001	0.001
Cambodia	0.001	0.001	0.001
Cameroon	0.009	0.009	0.009
Canada	2.977	2.904	2.904
Cape Verde	0.001	0.001	0.001
Central African Republic	0.001	0.001	0.001
Chad	0.001	0.001	0.001
Chile	0.161	0.157	0.157
China	2.667	2.602	2.602
Colombia	0.105	0.102	0.102
Comoros	0.001	0.001	0.001
Congo	0.001	0.001	0.001
Cook Islands	0.001	0.001	0.001
Costa Rica	0.032	0.031	0.031
Côte d'Ivoire	0.009	0.009	0.009
Croatia	0.050	0.049	0.049
Cuba	0.054	0.053	0.053
Cyprus	0.044	0.043	0.043
Czech Republic	0.281	0.274	0.274

Party	United Nations scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2009
Democratic People's Republic of Korea	0.007	0.007	0.007
Democratic Republic of the Congo	0.003	0.003	0.003
Denmark	0.739	0.721	0.721
Djibouti	0.001	0.001	0.001
Dominica	0.001	0.001	0.001
Dominican Republic	0.024	0.023	0.023
Ecuador	0.021	0.020	0.020
Egypt	0.088	0.086	0.086
El Salvador	0.020	0.020	0.020
Equatorial Guinea	0.002	0.002	0.002
Eritrea	0.001	0.001	0.001
Estonia	0.016	0.016	0.016
Ethiopia	0.003	0.003	0.003
European Community	2.500	2.500	2.500
Fiji	0.003	0.003	0.003
Finland	0.564	0.550	0.550
France	6.301	6.146	6.146
Gabon	0.008	0.008	0.008
Gambia	0.001	0.001	0.001
Georgia	0.003	0.003	0.003
Germany	8.577	8.366	8.366
Ghana	0.004	0.004	0.004
Greece	0.596	0.581	0.581
Grenada	0.001	0.001	0.001
Guatemala	0.032	0.031	0.031
Guinea	0.001	0.001	0.001
Guinea-Bissau	0.001	0.001	0.001
Guyana	0.001	0.001	0.001
Haiti	0.002	0.002	0.002
Honduras	0.005	0.005	0.005
Hungary	0.244	0.238	0.238
Iceland	0.037	0.036	0.036
India	0.450	0.439	0.439
Indonesia	0.161	0.157	0.157
Iran (Islamic Republic of)	0.180	0.176	0.176
Ireland	0.445	0.434	0.434
Israel	0.419	0.409	0.409
Italy	5.079	4.954	4.954
Jamaica	0.010	0.010	0.010
Japan	16.624	16.216	16.216
Jordan	0.012	0.012	0.012
Kazakhstan	0.029	0.028	0.028
Kenya	0.010	0.010	0.010
Kiribati	0.001	0.001	0.001
Kuwait	0.182	0.178	0.178
Kyrgyzstan	0.001	0.001	0.001
Lao People's Democratic Republic	0.001	0.001	0.001
Latvia	0.018	0.018	0.018
Lebanon	0.034	0.033	0.033

Party	United Nations scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2009
Lesotho	0.001	0.001	0.001
Liberia	0.001	0.001	0.001
Libyan Arab Jamahiriya	0.062	0.060	0.060
Liechtenstein	0.010	0.010	0.010
Lithuania	0.031	0.030	0.030
Luxembourg	0.085	0.083	0.083
Madagascar	0.002	0.002	0.002
Malawi	0.001	0.001	0.001
Malaysia	0.190	0.185	0.185
Maldives	0.001	0.001	0.001
Mali	0.001	0.001	0.001
Malta	0.017	0.017	0.017
Marshall Islands	0.001	0.001	0.001
Mauritania	0.001	0.001	0.001
Mauritius	0.011	0.011	0.011
Mexico	2.257	2.202	2.202
Micronesia (Federated States of)	0.001	0.001	0.001
Moldova	0.001	0.001	0.001
Monaco	0.003	0.003	0.003
Mongolia	0.001	0.001	0.001
Montenegro	0.001	0.001	0.001
Morocco	0.042	0.041	0.041
Mozambique	0.001	0.001	0.001
Myanmar	0.005	0.005	0.005
Namibia	0.006	0.006	0.006
Nauru	0.001	0.001	0.001
Nepal	0.003	0.003	0.003
Netherlands	1.873	1.827	1.827
New Zealand	0.256	0.250	0.250
Nicaragua	0.002	0.002	0.002
Niger	0.001	0.001	0.001
Nigeria	0.048	0.047	0.047
Niue	0.001	0.001	0.001
Norway	0.782	0.763	0.763
Oman	0.073	0.071	0.071
Pakistan	0.059	0.058	0.058
Palau	0.001	0.001	0.001
Panama	0.023	0.022	0.022
Papua New Guinea	0.002	0.002	0.002
Paraguay	0.005	0.005	0.005
Peru	0.078	0.076	0.076
Philippines	0.078	0.076	0.076
Poland	0.501	0.489	0.489
Portugal	0.527	0.514	0.514
Qatar	0.085	0.083	0.083
Republic of Korea	2.173	2.120	2.120
Romania	0.070	0.068	0.068
Russian Federation	1.200	1.171	1.171
Rwanda	0.001	0.001	0.001

Party	United Nations scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2009
Saint Kitts and Nevis	0.001	0.001	0.001
Saint Lucia	0.001	0.001	0.001
Saint Vincent and the Grenadines	0.001	0.001	0.001
Samoa	0.001	0.001	0.001
San Marino	0.003	0.003	0.003
Sao Tome and Principe	0.001	0.001	0.001
Saudi Arabia	0.748	0.730	0.730
Senegal	0.004	0.004	0.004
Serbia	0.021	0.020	0.020
Seychelles	0.002	0.002	0.002
Sierra Leone	0.001	0.001	0.001
Singapore	0.347	0.338	0.338
Slovakia	0.063	0.061	0.061
Slovenia	0.096	0.094	0.094
Solomon Islands	0.001	0.001	0.001
South Africa	0.290	0.283	0.283
Spain	2.968	2.895	2.895
Sri Lanka	0.016	0.016	0.016
Sudan	0.010	0.010	0.010
Suriname	0.001	0.001	0.001
Swaziland	0.002	0.002	0.002
Sweden	1.071	1.045	1.045
Switzerland	1.216	1.186	1.186
Syrian Arab Republic	0.016	0.016	0.016
Tajikistan	0.001	0.001	0.001
Thailand	0.186	0.181	0.181
The former Yugoslav Republic of Macedonia	0.005	0.005	0.005
Timor-Leste	0.001	0.001	0.001
Togo	0.001	0.001	0.001
Tonga	0.001	0.001	0.001
Trinidad and Tobago	0.027	0.026	0.026
Tunisia	0.031	0.030	0.030
Turkey	0.381	0.372	0.372
Turkmenistan	0.006	0.006	0.006
Tuvalu	0.001	0.001	0.001
Uganda	0.003	0.003	0.003
Ukraine	0.045	0.044	0.044
United Arab Emirates	0.302	0.295	0.295
United Kingdom of Great Britain and Northern Ireland	6.642	6.479	6.479
United Republic of Tanzania	0.006	0.006	0.006
United States of America	22.000	21.460	21.460
Uruguay	0.027	0.026	0.026
Uzbekistan	0.008	0.008	0.008
Vanuatu	0.001	0.001	0.001
Venezuela (Bolivarian Republic of)	0.200	0.195	0.195
Viet Nam	0.024	0.023	0.023
Yemen	0.007	0.007	0.007

Party	United Nations scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2008	UNFCCC adjusted scale of assessment for 2009
Zambia	0.001	0.001	0.001
Zimbabwe	0.008	0.008	0.008
TOTAL	102.452	100.000	100.000

*8th plenary meeting
14–15 December 2007*

Decision 14/CP.13

Date and venue of the fourteenth and fifteenth sessions of the Conference of the Parties and the calendar of meetings of Convention bodies

The Conference of the Parties,

Recalling Article 7, paragraph 4, of the Convention,

Recalling United Nations General Assembly resolution 40/243 of 18 December 1985 on the pattern of conferences,

Recalling rule 22, paragraph 1, of the draft rules of procedure being applied¹ regarding the rotation of the office of President among the five regional groups,

I. Date and venue of the fourteenth and fifteenth sessions of the Conference of the Parties

A. Date and venue of the fourteenth session of the Conference of the Parties and the fourth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

1. *Decides* that the fourteenth session of the Conference of the Parties and the fourth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol shall be held from 1 to 12 December 2008;

2. *Decides* to accept with appreciation the offer by the Government of Poland to host the fourteenth session of the Conference of the Parties and the fourth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in Poznan, Poland;

3. *Requests* the Executive Secretary to continue consultations with the Government of Poland and to negotiate a Host Country Agreement for convening the sessions, with a view to concluding and signing the Host Country Agreement not later than 15 February 2008;

B. Date and venue of the fifteenth session of the Conference of the Parties and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

4. *Decides* that the fifteenth session of the Conference of the Parties and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol shall be held from 30 November to 11 December 2009;

5. *Decides* to accept with appreciation the offer by the Government of Denmark to host the fifteenth session of the Conference of the Parties and the fifth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in Copenhagen, Denmark, subject to confirmation by the Bureau that all logistical, technical and financial elements for hosting the sessions are available, in conformity with General Assembly resolution 40/243;

6. *Requests* the Executive Secretary to continue consultations with the Government of Denmark and to negotiate a Host Country Agreement for convening the sessions, with a view to concluding and signing the Host Country Agreement not later than the twenty-eighth sessions of the subsidiary bodies;

¹ FCCC/CP/1996/2.

7. *Requests* the secretariat to take the necessary action to implement this decision;

II. Calendar of meetings of Convention bodies

8. *Decides* to adopt the dates of 14–25 May and 26 November to 7 December for the sessional periods in 2012 as recommended by the Subsidiary Body for Implementation;

9. *Invites* the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to endorse this decision.

*8th plenary meeting
14–15 December 2007*

Resolution 1/CP.13

Expression of gratitude to the Government of the Republic of Indonesia and the people of the province of Bali

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 Bali from 3 to 15 December 2007 at the invitation of the Government of the Republic of Indonesia,

1. *Express their profound gratitude* to the Government of the Republic of Indonesia for having made it possible for the thirteenth session of the Conference of the Parties and the third session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to be held in Bali;

2. *Request* the Government of the Republic of Indonesia to convey to the people of Bali 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.

*8th plenary meeting
14–15 December 2007*



**UNITED
NATIONS**



**Framework Convention
on Climate Change**

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18 December 2009

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

**Agenda item 9
High-level segment**

Draft decision -/CP.15

Proposal by the President

Copenhagen Accord

The Heads of State, Heads of Government, Ministers, and other heads of delegation present at the United Nations Climate Change Conference 2009 in Copenhagen,

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

Being guided by the principles and provisions of the Convention,

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

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

Have agreed on this Copenhagen Accord which is operational immediately.

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

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

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

4. Annex I Parties commit to implement individually or jointly the quantified economy-wide emissions targets for 2020, to be submitted in the format given in Appendix I by Annex I Parties to the secretariat by 31 January 2010 for compilation in an INF document. Annex I Parties that are Party to the Kyoto Protocol will thereby further strengthen the emissions reductions initiated by the Kyoto Protocol. Delivery of reductions and financing by developed countries will be measured, reported and verified in accordance with existing and any further guidelines adopted by the Conference of the Parties, and will ensure that accounting of such targets and finance is rigorous, robust and transparent.

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

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

7. We decide to pursue various approaches, including opportunities to use markets, to enhance the cost-effectiveness of, and to promote mitigation actions. Developing countries, especially

those with low emitting economies should be provided incentives to continue to develop on a low emission pathway.

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

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

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

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

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

Quantified economy-wide emissions targets for 2020

[illegible]

APPENDIX II

Nationally appropriate mitigation actions of developing country Parties

[illegible]

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Framework Convention on Climate Change

Distr.: General
15 March 2011

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Conference of the Parties

Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010

Addendum

Part Two: Action taken by the Conference of the Parties at its sixteenth session

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Decision 1/CP.16

The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

The Conference of the Parties,

Recalling its decision 1/CP.13 (the Bali Action Plan) and decision 1/CP.15,

Seeking to secure progress in a balanced manner, with the understanding that, through this decision, not all aspects of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention are concluded, and that nothing in this decision shall prejudice prospects for, or the content of, a legally binding outcome in the future,

Reaffirming the commitment to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to achieve the ultimate objective of the Convention,

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

Recognizing that climate change represents an urgent and potentially irreversible threat to human societies and the planet, and thus requires to be urgently addressed by all Parties,

Affirming the legitimate needs of developing country Parties for the achievement of sustained economic growth and the eradication of poverty, so as to be able to deal with climate change,

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

I. A shared vision for long-term cooperative action

1. *Affirms* that climate change is one of the greatest challenges of our time and that all Parties share a vision for long-term cooperative action in order to achieve the objective of the Convention under its Article 2, including through the achievement of a global goal, on the basis of equity and in accordance with common but differentiated responsibilities and respective capabilities; this vision is to guide the policies and actions of all Parties, while taking into full consideration the different circumstances of Parties in accordance with the principles and provisions of the Convention; the vision addresses mitigation, adaptation, finance, technology development and transfer, and capacity-building in a balanced, integrated and comprehensive manner to enhance and achieve the full, effective and sustained implementation of the Convention, now, up to and beyond 2012;

2. *Further affirms* that:

(a) Scaled-up overall mitigation efforts that allow for the achievement of desired stabilization levels are necessary, with developed country Parties showing leadership by undertaking ambitious emission reductions and providing technology, capacity-building and financial resources to developing country Parties, in accordance with the relevant provisions of the Convention;

(b) Adaptation must be addressed with the same priority as mitigation and requires appropriate institutional arrangements to enhance adaptation action and support;

(c) All Parties should cooperate, consistent with the principles of the Convention, through effective mechanisms, enhanced means and appropriate enabling environments, and enhance technology development and the transfer of technologies to developing country Parties to enable action on mitigation and adaptation;

(d) Mobilization and provision of scaled-up, new, additional, adequate and predictable financial resources is necessary to address the adaptation and mitigation needs of developing countries;

(e) Capacity-building is essential to enable developing country Parties to participate fully in, and to implement effectively, their commitments under the Convention; and that the goal is to enhance the capacity of developing country Parties in all areas;

3. *Recognizes* that warming of the climate system is unequivocal and that most of the observed increase in global average temperatures since the mid-twentieth century is very likely due to the observed increase in anthropogenic greenhouse gas concentrations, as assessed by the Intergovernmental Panel on Climate Change in its Fourth Assessment Report;

4. *Further recognizes* that deep cuts in global greenhouse gas emissions are required according to science, and as documented in the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, with a view to reducing global greenhouse gas emissions so as to hold the increase in global average temperature below 2 °C above pre-industrial levels, and that Parties should take urgent action to meet this long-term goal, consistent with science and on the basis of equity; *also recognizes* the need to consider, in the context of the first review, as referred to in paragraph 138 below, strengthening the long-term global goal on the basis of the best available scientific knowledge, including in relation to a global average temperature rise of 1.5 °C;

5. *Agrees*, in the context of the long-term goal and the ultimate objective of the Convention and the Bali Action Plan, to work towards identifying a global goal for substantially reducing global emissions by 2050, and to consider it at the seventeenth session of the Conference of the Parties;

6. *Also agrees* that Parties should cooperate in achieving the peaking of global and national greenhouse gas emissions as soon as possible, recognizing that the time frame for peaking will be longer in developing countries, and bearing in mind that social and economic development and poverty eradication are the first and overriding priorities of developing countries and that a low-carbon development strategy is indispensable to sustainable development; in this context, *further agrees* to work towards identifying a time frame for global peaking of greenhouse gas emissions based on the best available scientific knowledge and equitable access to sustainable development, and to consider it at the seventeenth session of the Conference of the Parties;

7. *Recognizes* the need to engage a broad range of stakeholders at the global, regional, national and local levels, be they government, including subnational and local government, private business or civil society, including youth and persons with disability, and that

gender equality and the effective participation of women and indigenous peoples are important for effective action on all aspects of climate change;

8. *Emphasizes* that Parties should, in all climate change related actions, fully respect human rights;

9. *Confirms* that Parties, especially developing country Parties that would have to bear a disproportionate or abnormal burden under the long-term cooperative action under the Convention, should be given full consideration;

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

II. Enhanced action on adaptation

11. *Agrees* that adaptation is a challenge faced by all Parties, and that enhanced action and international cooperation on adaptation is urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing country Parties, taking into account the urgent and immediate needs of those developing countries that are particularly vulnerable;

12. *Affirms* that enhanced action on adaptation should be undertaken in accordance with the Convention, should follow 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;

13. *Decides* to hereby establish the Cancun Adaptation Framework encompassing the provisions laid out below, with the objective of enhancing action on adaptation, including through international cooperation and coherent consideration of matters relating to adaptation under the Convention;

14. *Invites* all Parties to enhance action on adaptation under the Cancun Adaptation Framework, taking into account their common but differentiated responsibilities and respective capabilities, and specific national and regional development priorities, objectives and circumstances, by undertaking, inter alia, the following:

(a) Planning, prioritizing and implementing adaptation actions, including projects and programmes,¹ and actions identified in national and subnational adaptation plans and strategies, national adaptation programmes of action of the least developed countries, national communications, technology needs assessments and other relevant national planning documents;

(b) Impact, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental evaluation of adaptation options;

(c) Strengthening institutional capacities and enabling environments for adaptation, including for climate-resilient development and vulnerability reduction;

¹ Including in the areas of water resources; health; agriculture and food security; infrastructure; socio-economic activities; terrestrial, freshwater and marine ecosystems; and coastal zones.

(d) Building resilience of socio-economic and ecological systems, including through economic diversification and sustainable management of natural resources;

(e) Enhancing climate change related disaster risk reduction strategies, taking into consideration the Hyogo Framework for Action,² where appropriate, early warning systems, risk assessment and management, and sharing and transfer mechanisms such as insurance, at the local, national, subregional and regional levels, as appropriate;

(f) Measures to enhance understanding, coordination and cooperation with regard to climate change induced displacement, migration and planned relocation, where appropriate, at the national, regional and international levels;

(g) Research, development, demonstration, diffusion, deployment and transfer of technologies, practices and processes, and capacity-building for adaptation, with a view to promoting access to technologies, in particular in developing country Parties;

(h) Strengthening data, information and knowledge systems, education and public awareness;

(i) Improving climate-related research and systematic observation for climate data collection, archiving, analysis and modelling in order to provide decision makers at the national and regional levels with improved climate-related data and information;

15. *Decides* to hereby establish a process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs;

16. *Invites* other developing country Parties to employ the modalities formulated to support the above-mentioned national adaptation plans in the elaboration of their planning effort referred to in paragraph 14 (a) above;

17. *Requests* the Subsidiary Body for Implementation to elaborate modalities and guidelines for the provisions of paragraphs 15 and 16 above, for adoption by the Conference of the Parties at its seventeenth session;

18. *Requests* developed country Parties to provide developing country Parties, taking into account the needs of those that are particularly vulnerable, with long-term, scaled-up, predictable, new and additional finance, technology and capacity-building, consistent with relevant provisions, to implement urgent, short-, medium- and long-term adaptation actions, plans, programmes and projects at the local, national, subregional and regional levels, in and across different economic and social sectors and ecosystems, as well as to undertake the activities referred to in paragraphs 14–16 above and paragraphs 30, 32 and 33 below;

19. *Acknowledges* the need to strengthen, enhance and better utilize existing institutional arrangements and expertise under the Convention;

20. *Decides* to hereby establish an Adaptation Committee to promote the implementation of enhanced action on adaptation in a coherent manner under the Convention, inter alia, through the following functions:

(a) Providing technical support and guidance to the Parties, respecting the country-driven approach, with a view to facilitating the implementation of adaptation activities, including those listed in paragraphs 14 and 15 above, where appropriate;

(b) Strengthening, consolidating and enhancing the sharing of relevant information, knowledge, experience and good practices, at the local, national, regional and

² <<http://www.unisdr.org/eng/hfa/hfa.htm>>.

international levels, taking into account, as appropriate, traditional knowledge and practices;

(c) Promoting synergy and strengthening engagement with national, regional and international organizations, centres and networks, in order to enhance the implementation of adaptation actions, in particular in developing country Parties;

(d) Providing information and recommendations, drawing on adaptation good practices, for consideration by the Conference of the Parties when providing guidance on means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building and other ways to enable climate-resilient development and reduce vulnerability, including to the operating entities of the financial mechanism of the Convention, as appropriate;

(e) Considering information communicated by Parties on their monitoring and review of adaptation actions, support provided and received, possible needs and gaps and other relevant information, including information communicated under the Convention, with a view to recommending what further actions may be required, as appropriate;

21. *Invites* Parties to submit to the secretariat, by 21 February 2011, views on the composition of, and modalities and procedures for, the Adaptation Committee, including on proposed linkages with other relevant institutional arrangements;

22. *Requests* the secretariat to compile these submissions into a miscellaneous document, to be made available by the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, and to prepare a synthesis report based on those submissions by the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention;

23. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, taking into account the above-mentioned submissions and synthesis report, to elaborate the composition of, and modalities and procedures for, the Adaptation Committee, for adoption by the Conference of the Parties at its seventeenth session;

24. *Also requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, in elaborating the above-mentioned modalities and procedures, to define, as appropriate, linkages with other relevant institutional arrangements under and outside the Convention, including at the national and regional levels;

25. *Recognizes* the need to strengthen international cooperation and expertise in order to understand and reduce loss and damage associated with the adverse effects of climate change, including impacts related to extreme weather events and slow onset events;³

26. *Decides* to hereby establish a work programme in order to consider, including through workshops and expert meetings, as appropriate, approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change;

27. *Requests* the Subsidiary Body for Implementation to agree on activities to be undertaken under the above-mentioned work programme;

28. *Invites* Parties and relevant organizations to submit to the secretariat, by 21 February 2011, views and information on what elements should be included in the work programme, including the following:

³ Including sea level rise, increasing temperatures, ocean acidification, glacial retreat and related impacts, salinization, land and forest degradation, loss of biodiversity and desertification.

(a) Possible development of a climate risk insurance facility to address impacts associated with severe weather events;

(b) Options for risk management and reduction, risk sharing and transfer mechanisms such as insurance, including options for micro-insurance, and resilience-building, including through economic diversification;

(c) Approaches for addressing rehabilitation measures associated with slow onset events;

(d) Engagement of stakeholders with relevant specialized expertise;

29. *Requests* the secretariat to compile these submissions into a miscellaneous document and to prepare a synthesis report based on those submissions, to be made available for consideration by the Subsidiary Body for Implementation at its thirty-fourth session, and with a view to making recommendations on loss and damage to the Conference of the Parties for its consideration at its eighteenth session;

30. *Invites* Parties to strengthen and, where necessary, establish regional centres and networks, in particular in developing countries, with support from developed country Parties and relevant organizations, as appropriate, and to facilitate and enhance national and regional adaptation actions, in a manner that is country-driven, encourages cooperation and coordination between regional stakeholders and improves the flow of information between the Convention process and national and regional activities;

31. *Notes* that an international centre to enhance adaptation research and coordination could also be established in a developing country;

32. *Invites* all Parties to strengthen and, where necessary, establish and/or designate national-level institutional arrangements, with a view to enhancing work on the full range of adaptation actions, from planning to implementation;

33. *Decides* that all Parties should use existing channels to provide information, as appropriate, on support provided and received for adaptation actions in developing countries and on activities undertaken, including, inter alia, progress made, experiences, lessons learned, and challenges and gaps in the delivery of support, with a view to ensuring transparency and accountability and encouraging best practices;

34. *Invites* relevant multilateral, international, regional and national organizations, the public and private sectors, civil society and other relevant stakeholders to undertake and support enhanced action on adaptation at all levels, including under the Cancun Adaptation Framework, as appropriate, in a coherent and integrated manner, building on synergies among activities and processes, and to make information available on the progress made;

35. *Requests* the secretariat to support the implementation of the Cancun Adaptation Framework, including related institutional arrangements under the Convention, in accordance with its mandate and subject to the availability of resources;

III. Enhanced action on mitigation

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

Emphasizing the need for deep cuts in global greenhouse gas emissions and early and urgent undertakings to accelerate and enhance the implementation of the Convention by all Parties, on the basis of equity and in accordance with their common but differentiated responsibilities and respective capabilities,

Acknowledging that the largest share of historical global emissions of greenhouse gases originated in developed countries and that, owing to this historical responsibility, developed country Parties must take the lead in combating climate change and the adverse effects thereof,

36. *Takes note* of quantified economy-wide emission reduction targets to be implemented by Parties included in Annex I to the Convention as communicated by them and contained in document FCCC/SB/2011/INF.1⁴ (to be issued);

37. *Urges* developed country Parties to increase the ambition of their economy-wide emission reduction targets, with a view to reducing their aggregate anthropogenic emissions of carbon dioxide and other greenhouse gases not controlled by the Montreal Protocol to a level consistent with the Fourth Assessment Report of the Intergovernmental Panel on Climate Change;

38. *Requests* the secretariat to organize workshops to clarify the assumptions and the conditions related to the attainment of these targets, including the use of carbon credits from the market-based mechanisms and land use, land-use change and forestry activities, and options and ways to increase their level of ambition;

39. *Also requests* the secretariat to prepare a technical paper based on Parties' submissions with the aim of facilitating understanding of the assumptions and conditions related to the attainment of their emission reduction targets and a comparison of the level of emission reduction efforts;

40. *Decides*, building on existing reporting and review guidelines, processes and experiences, to enhance reporting in the national communications of Parties included in Annex I to the Convention on mitigation targets and on the provision of financial, technological and capacity-building support to developing country Parties as follows:

(a) Developed countries should submit annual greenhouse gas inventories and inventory reports and biennial reports on their progress in achieving emission reductions, including information on mitigation actions to achieve their quantified economy-wide emission targets and emission reductions achieved, projected emissions and the provision of financial, technology and capacity-building support to developing country Parties;

(b) Developed countries shall submit supplementary information on the achievement of quantified economy-wide emission reductions;

(c) Developed countries shall improve the reporting of information on the provision of financial, technology and capacity-building support to developing country Parties;

41. *Also decides* to enhance the guidelines for the reporting of information in national communications by Parties included in Annex I to the Convention, including the development of common reporting formats and methodology for finance, in order to ensure that information provided is complete, comparable, transparent and accurate;

42. *Further decides* to enhance guidelines for the review of information in national communications with respect to the following:

(a) Progress made in achieving emission reductions;

(b) Provision of financial, technology and capacity-building support to developing country Parties;

⁴ Parties' communications to the secretariat that are included in the information document are considered communications under the Convention.

43. *Decides* that developed countries should establish national arrangements for the estimation of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol;

44. *Also decides* to establish a process for international assessment of emissions and removals related to quantified economy-wide emission reduction targets under the Subsidiary Body for Implementation, taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence;

45. *Further decides* that developed countries should develop low-carbon development strategies or plans;

46. *Decides* on the following work programme for the development of modalities and guidelines described above, building on existing reporting and review guidelines, processes and experiences:

(a) The revision of guidelines, as necessary, on the reporting of national communications, including the biennial report:

(i) The provision of financing, through enhanced common reporting formats, methodologies for finance and tracking of climate-related support;

(ii) Supplementary information on achievement of quantified economy-wide emission reduction targets;

(iii) Information on national inventory arrangements;

(b) The revision of guidelines for the review of national communications, including the biennial report, annual greenhouse gas inventories and national inventory systems;

(c) The establishment of guidelines for national inventory arrangements;

(d) Modalities and procedures for international assessment and review of emissions and removals related to quantified economy-wide emission reduction targets in accordance with paragraph 44 above, including the role of land use, land-use change and forestry, and carbon credits from market-based mechanisms, taking into account international experience;

47. *Invites* Parties to submit views on the items mentioned in paragraph 46 above, including with respect to the initial scheduling of the processes described in this section, by 28 March 2011;

B. Nationally appropriate mitigation actions by developing country Parties

Recognizing that developing country Parties are already contributing and will continue to contribute to a global mitigation effort in accordance with the principles and provisions of the Convention, and could enhance their mitigation actions, depending on provision of finance, technology and capacity-building support by developed country Parties,

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

48. *Agrees* that developing country Parties will take nationally appropriate mitigation actions in the context of sustainable development, supported and enabled by technology,

financing and capacity-building, aimed at achieving a deviation in emissions relative to 'business as usual' emissions in 2020;

49. *Takes note* of nationally appropriate mitigation actions to be implemented by Parties not included in Annex I to the Convention as communicated by them and contained in document FCCC/AWGLCA/2011/INF.1⁵ (to be issued);

50. *Invites* developing countries that wish to voluntarily inform the Conference of the Parties of their intention to implement nationally appropriate mitigation actions in association with this decision to submit information on those actions to the secretariat;

51. *Requests* the secretariat to organize workshops to understand the diversity of mitigation actions submitted, underlying assumptions and any support needed for the implementation of these actions, noting different national circumstances and the respective capabilities of developing country Parties;

52. *Decides* that, in accordance with Article 4, paragraph 3, of the Convention, developed country Parties shall provide enhanced financial, technological and capacity-building support for the preparation and implementation of nationally appropriate mitigation actions of developing country Parties and for enhanced reporting by these Parties;

53. *Also decides* to set up a registry to record nationally appropriate mitigation actions seeking international support and to facilitate matching of finance, technology and capacity-building support for these actions;

54. *Invites* developing country Parties to submit to the secretariat information on nationally appropriate mitigation actions for which they are seeking support, along with estimated costs and emission reductions, and the anticipated time frame for implementation;

55. *Also invites* developed country Parties to submit to the secretariat information on support available and provided for nationally appropriate mitigation actions;

56. *Requests* the secretariat to record and regularly update in the registry the information provided by Parties on:

- (a) Nationally appropriate mitigation actions seeking international support;
- (b) Support available from developed country Parties for these actions;
- (c) Support provided for nationally appropriate mitigation actions;

57. *Agrees* to develop modalities for the facilitation of support through the registry referred to in paragraph 53 above, including any functional relationship with the financial mechanism;

58. *Decides* to recognize nationally appropriate mitigation actions of developing countries in a separate section of the registry;

59. *Requests* the secretariat to record, and regularly update, in a separate section of the registry, information submitted by Parties on the following:

- (a) Mitigation actions contained in document FCCC/AWGLCA/2011/INF.1;
- (b) Additional mitigation actions submitted in association with paragraph 50 above;

⁵ Parties' communications to the secretariat that are included in the information document are considered communications under the Convention.

(c) Once support has been provided, internationally supported mitigation actions and associated support;

60. *Decides* to enhance reporting in national communications, including inventories, from Parties not included in Annex I to the Convention on mitigation actions and their effects, and support received, with additional flexibility to be given to the least developed country Parties and small island developing States:

(a) The content and frequency of national communications from Parties not included in Annex I to the Convention will not be more onerous than that for Parties included in Annex I to the Convention;

(b) Parties not included in Annex I to the Convention should submit their national communications to the Conference of the Parties, in accordance with Article 12, paragraph 1, of the Convention, every four years or in accordance with any further decisions on frequency by the Conference of the Parties, taking into account a differentiated timetable and the prompt provision of financial resources to cover the agreed full costs incurred by Parties not included in Annex I to the Convention in preparing their national communications;

(c) Developing countries, consistent with their capabilities and the level of support provided for reporting, should also submit biennial update reports containing updates of national greenhouse gas inventories, including a national inventory report and information on mitigation actions, needs and support received;

61. *Also decides* that internationally supported mitigation actions will be measured, reported and verified domestically and will be subject to international measurement, reporting and verification in accordance with guidelines to be developed under the Convention;

62. *Further decides* that domestically supported mitigation actions will be measured, reported and verified domestically in accordance with general guidelines to be developed under the Convention;

63. *Decides* to conduct international consultations and analysis of biennial reports under the Subsidiary Body for Implementation, in a manner that is non-intrusive, non-punitive and respectful of national sovereignty; the international consultations and analysis will aim to increase transparency of mitigation actions and their effects, through analysis by technical experts in consultation with the Party concerned and through a facilitative sharing of views, and will result in a summary report;

64. *Also decides* that information considered should include the national greenhouse gas inventory report, information on mitigation actions, including a description, analysis of the impacts and associated methodologies and assumptions, progress in implementation and information on domestic measurement, reporting and verification, and support received; discussion about the appropriateness of such domestic policies and measures is not part of the process; discussions should be intended to provide transparency of information related to unsupported actions;

65. *Encourages* developing countries to develop low-carbon development strategies or plans in the context of sustainable development;

66. *Agrees* on a work programme for the development of modalities and guidelines for: facilitation of support to nationally appropriate mitigation actions through a registry; measurement, reporting and verification of supported actions and corresponding support; biennial reports as part of national communications from Parties not included in Annex I to the Convention; domestic verification of mitigation actions undertaken with domestic resources; and international consultations and analysis;

67. *Invites* Parties to submit views on the items mentioned in paragraph 66 above, including with respect to the initial scheduling of the processes described in this section, by 28 March 2011;

C. 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

Affirming that, in the context of the provision of adequate and predictable support to developing country Parties, Parties should collectively aim to slow, halt and reverse forest cover and carbon loss, in accordance with national circumstances, consistent with the ultimate objective of the Convention, as stated in Article 2,

Also affirming the need to promote broad country participation in all phases described in paragraph 73 below, including through the provision of support that takes into account existing capacities,

68. *Encourages* all Parties to find effective ways to reduce the human pressure on forests that results in greenhouse gas emissions, including actions to address drivers of deforestation;

69. *Affirms* that the implementation of the activities referred to in paragraph 70 below should be carried out in accordance with appendix I to this decision, and that the safeguards referred to in paragraph 2 of appendix I to this decision should be promoted and supported;

70. *Encourages* developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances:

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

71. *Requests* developing country Parties aiming to undertake the activities referred to in paragraph 70 above, in the context of the provision of adequate and predictable support, including financial resources and technical and technological support to developing country Parties, in accordance with national circumstances and respective capabilities, to develop the following elements:

- (a) A national strategy or action plan;
- (b) A national forest reference emission level and/or forest reference level⁶ or, if appropriate, as an interim measure, subnational forest reference emission levels and/or forest reference levels, in accordance with national circumstances, and with provisions contained in decision 4/CP.15, and with any further elaboration of those provisions adopted by the Conference of the Parties;

⁶ In accordance with national circumstances, national forest reference emission levels and/or forest reference levels could be a combination of subnational forest reference emissions levels and/or forest reference levels.

(c) A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 70 above, with, if appropriate, subnational monitoring and reporting as an interim measure,⁷ in accordance with national circumstances, and with the provisions contained in decision 4/CP.15, and with any further elaboration of those provisions agreed by the Conference of the Parties;

(d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70 above, while respecting sovereignty;

72. *Also requests* developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities;

73. *Decides* that the activities undertaken by Parties referred to in paragraph 70 above should be implemented in phases, beginning with the development of national strategies or action plans, policies and measures, and capacity-building, followed by the implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities, and evolving into results-based actions that should be fully measured, reported and verified;

74. *Recognizes* that the implementation of the activities referred to in paragraph 70 above, including the choice of a starting phase as referred to in paragraph 73 above, depends on the specific national circumstances, capacities and capabilities of each developing country Party and the level of support received;

75. *Requests* the Subsidiary Body for Scientific and Technological Advice to develop a work programme on the matters referred to in appendix II to this decision;

76. *Urges* Parties, in particular developed country Parties, to support, through multilateral and bilateral channels, the development of national strategies or action plans, policies and measures and capacity-building, followed by the implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities, including consideration of the safeguards referred to in paragraph 2 of appendix I to this decision, taking into account the relevant provisions on finance including those relating to reporting on support;

77. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to explore financing options for the full implementation of the results-based actions⁸ referred to in paragraph 73 above and to report on progress made, including any recommendations for draft decisions on this matter, to the Conference of the Parties at its seventeenth session;

78. *Also requests* Parties to ensure coordination of the activities referred to in paragraph 70 above, including of the related support, particularly at the national level;

⁷ Including monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate subnational monitoring systems into a national monitoring system.

⁸ These actions require national monitoring systems.

79. *Invites* relevant international organizations and stakeholders to contribute to the activities referred to in paragraphs 70 and 78 above;

D. Various approaches, including opportunities for using markets, to enhance the cost-effectiveness of, and to promote, mitigation actions, bearing in mind different circumstances of developed and developing countries

Acknowledging the need to maintain consistency with the principles of the Convention,

Emphasizing the importance of contributing to sustainable development, including through technology transfer and other co-benefits,

Recognizing the importance of enhancing sustainable lifestyles and patterns of production and consumption,

Aware of the need to provide incentives in support of low-emission development strategies,

80. *Decides* to consider the establishment, at the seventeenth session of the Conference of the Parties, of one or more market-based mechanisms to enhance the cost-effectiveness of, and to promote, mitigation actions, taking into account the following:

- (a) Ensuring voluntary participation of Parties, supported by the promotion of fair and equitable access for all Parties;
- (b) Complementing other means of support for nationally appropriate mitigation actions by developing country Parties;
- (c) Stimulating mitigation across broad segments of the economy;
- (d) Safeguarding environmental integrity;
- (e) Ensuring a net decrease and/or avoidance of global greenhouse gas emissions;
- (f) Assisting developed country Parties to meet part of their mitigation targets, while ensuring that the use of such a mechanism or mechanisms is supplemental to domestic mitigation efforts;
- (g) Ensuring good governance and robust market functioning and regulation;

81. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to elaborate the mechanism or mechanisms referred to in paragraph 80 above, with a view to recommending a draft decision or decisions to the Conference of the Parties for consideration at its seventeenth session;

82. *Invites* Parties and accredited observer organizations to submit to the secretariat, by 21 February 2011, their views on the matters referred to in paragraph 81 above;

83. *Undertakes*, in developing and implementing the mechanism or mechanisms referred to in paragraph 80 above, to maintain and build upon existing mechanisms, including those established under the Kyoto Protocol;

84. *Decides* to consider the establishment, at the seventeenth session of the Conference of the Parties, of one or more non-market-based mechanisms to enhance the cost-effectiveness of, and to promote, mitigation actions;

85. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to elaborate the mechanism or mechanisms referred to in paragraph 84 above, with a view to recommending a draft decision or decisions to the Conference of the Parties for consideration at its seventeenth session;

86. *Invites* Parties and accredited observer organizations to submit to the secretariat, by 21 February 2011, their views on the matters referred to in paragraph 85 above;

87. *Also invites* Parties and accredited observer organizations to submit to the secretariat, by 21 February 2011, information on the evaluation of various approaches in enhancing the cost-effectiveness of, and promoting, mitigation actions, including activities implemented jointly under Article 4, paragraph 2(a), of the Convention and any other relevant activities, for synthesis by the secretariat;

E. Economic and social consequences of response measures

Reaffirming the importance of the objective of the Convention, and the relevant principles and provisions of the Convention related to economic and social consequences of response measures, in particular its Articles 2, 3 and 4,

Recognizing that the implementation of response measures to mitigate climate change taken by a Party may result in negative economic and social consequences for other Parties, and the need to take into consideration in the implementation of the commitments of the Convention the situation of Parties, particularly developing country Parties, with economies that are vulnerable to the adverse impact of the implementation of measures to respond to climate change, referred to in Article 4, paragraphs 8, 9 and 10, of the Convention,

Affirming that responses to climate change should be coordinated with social and economic development in an integrated manner, with a view to avoiding adverse impacts on the latter, taking fully into account the legitimate priority needs of developing country Parties for the achievement of sustained economic growth and the eradication of poverty, and the consequences for vulnerable groups, in particular women and children,

Recognizing the importance of avoiding or minimizing negative impacts of response measures on social and economic sectors, promoting a just transition of the workforce, the creation of decent work and quality jobs in accordance with nationally defined development priorities and strategies, and contributing to building new capacity for both production and service-related jobs in all sectors, promoting economic growth and sustainable development,

Taking note of relevant provisions of the United Nations Declaration on the Rights of Indigenous Peoples,

88. *Urges* Parties, in the implementation of measures to mitigate climate change, to take into consideration the economic and social impacts of response measures and the needs of Parties, in particular developing country Parties, impacted by response measures, consistent with relevant provisions of the Convention;

89. *Also urges* developed country Parties 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;

90. *Reaffirms* that the 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;

91. *Agrees* that information relating to response measures should be considered in a structured manner in order to enhance the implementation of Article 4, paragraph 1(g) and (h), of the Convention, recognizing the needs of developing country Parties identified in Article 4, paragraphs 8, 9 and 10;

92. *Decides* that Parties should cooperate fully to enhance understanding of the economic and social consequences of response measures, taking into account the need for information from those affected, and evidence of actual impacts, and of both positive and negative effects; and *further decides* to consider how existing channels, such as national communications, including the possible submission of supplementary information, as considered by the Subsidiary Body for Implementation, could be improved and built upon;

93. *Further decides* to provide a forum on the impact of the implementation of response measures, and to that end requests the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to convene such a forum at the thirty-fourth and thirty-fifth sessions of these bodies, with the objective of developing a work programme under the subsidiary bodies to address these impacts, with a view to adopting, at the seventeenth session of the Conference of the Parties, modalities for the operationalization of the work programme and a possible forum on response measures;

94. *Invites* Parties and relevant intergovernmental organizations to submit to the secretariat, by 28 March 2011, their views on the issues referred to in paragraph 93 above for consideration by the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation at their thirty-fourth sessions;

IV. Finance, technology and capacity-building

A. Finance

95. *Takes note* of the collective commitment by developed countries to provide new and additional resources, including forestry and investments through international institutions, approaching USD 30 billion for the period 2010–2012, with a balanced allocation between adaptation and mitigation; funding for adaptation will be prioritized for the most vulnerable developing countries, such as the least developed countries, small island developing States and Africa;

96. *Invites*, in order to enhance transparency, developed country Parties to submit to the secretariat for compilation into an information document, by May 2011, 2012 and 2013, information on the resources provided to fulfil the commitment referred to in paragraph 95 above, including ways in which developing country Parties access these resources;

97. *Decides* that, in accordance with the relevant provisions of the Convention, scaled-up, new and additional, predictable and adequate funding shall be provided to developing country Parties, taking into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change;

98. *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;
99. *Agrees* that, in accordance with paragraph 1(e) of the Bali Action Plan, funds provided to developing country Parties may come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources;
100. *Decides* that a significant share of new multilateral funding for adaptation should flow through the Green Climate Fund, referred to in paragraph 102 below;
101. *Takes note* of the relevant reports on the financing needs and options for the mobilization of resources to address the needs of developing country Parties with regard to climate change adaptation and mitigation, including the report of the High-level Advisory Group on Climate Change Financing;
102. *Decides* to establish a Green Climate Fund, to be designated as an operating entity of the financial mechanism of the Convention under Article 11, with arrangements to be concluded between the Conference of the Parties and the Green Climate Fund to ensure that it is accountable to and functions under the guidance of the Conference of the Parties, to support projects, programmes, policies and other activities in developing country Parties using thematic funding windows;
103. *Also decides* that the Fund shall be governed by a Board of 24 members, comprising an equal number of members from developing and developed country Parties; representation from developing country Parties shall include representatives of relevant United Nations regional groupings and representatives of small island developing States and the least developed countries; each Board member shall have an alternate member; with alternate members entitled to participate in the meetings of the board only through the principal member, without the right to vote, unless they are serving as the member; during the absence of the member from all or part of a meeting of the Board, his or her alternate shall serve as the member;
104. *Further decides* that the Green Climate Fund shall have a trustee; the trustee for the Green Climate Fund shall have the administrative competence to manage the financial assets of the Green Climate Fund, maintain appropriate financial records and prepare financial statements and other reports required by the Board of the Green Climate Fund, in accordance with internationally accepted fiduciary standards;
105. *Decides* that the trustee shall administer the assets of the Green Climate Fund only for the purpose of, and in accordance with, the relevant decisions of the Green Climate Fund Board; the trustee shall hold the assets of the Green Climate Fund separate and apart from the assets of the trustee, but may commingle them for administrative and investment purposes with other assets maintained by the trustee; and the trustee shall establish and maintain separate records and accounts to identify the assets of the Green Climate Fund;
106. *Decides* that the trustee shall be accountable to the Green Climate Fund Board for the performance of its fiduciary responsibilities;
107. *Invites* the World Bank to serve as the interim trustee for the Green Climate Fund, subject to a review three years after operationalization of the Fund;
108. *Decides* that the operation of the Fund shall be supported by an independent secretariat;
109. *Also decides* that the Green Climate Fund shall be designed by a Transitional Committee in accordance with the terms of reference contained in appendix III to this decision; the Transitional Committee shall have 40 members, with 15 members from developed country Parties and 25 members from developing country Parties as follows:

- (a) Seven members from Africa;
- (b) Seven members from Asia;
- (c) Seven members from Group of Latin America and the Caribbean;
- (d) Two members from small island developing States;
- (e) Two members from the least developed countries;

110. *Invites* the Executive Secretary of the secretariat, in consultation with the President of the Conference of the Parties, to convene the initial meeting of the Transitional Committee, with members having the necessary experience and skills, notably in the area of finance and climate change; the meetings of the Transitional Committee will be open to observers;

111. *Requests* the secretariat, in consultation with the President of the Conference of the Parties, to make arrangements enabling relevant United Nations agencies, international financial institutions and multilateral development banks, along with the secretariat and the Global Environment Facility, to second staff to support the work of the Transitional Committee for the design phase of the Green Climate Fund;

112. *Decides* to establish a Standing Committee under the Conference of the Parties to assist the Conference of the Parties in exercising its functions with respect to the financial mechanism of the Convention in terms of improving coherence and coordination in the delivery of climate change financing, rationalization of the financial mechanism, mobilization of financial resources and measurement, reporting and verification of support provided to developing country Parties; Parties agree to further define the roles and functions of this Standing Committee;

B. Technology development and transfer

Recalling the commitments under the Convention, in particular Article 4, paragraphs 1, 3, 5, 7, 8 and 9,

Confirming the importance of promoting and enhancing national and international cooperative action on the development and transfer of environmentally sound technologies to developing country Parties to support action on mitigation and adaptation now, up to and beyond 2012, in order to achieve the ultimate objective of the Convention,

Recognizing that an early and rapid reduction in emissions and the urgent need to adapt to the adverse impacts of climate change require large-scale diffusion and transfer of, or access to, environmentally sound technologies,

Stressing the need for effective mechanisms, enhanced means, appropriate enabling environments and the removal of obstacles to the scaling up of the development and transfer of technology to developing country Parties,

113. *Decides* that the objective of enhanced action on technology development and transfer is to support action on mitigation and adaptation in order to achieve the full implementation of the Convention;

114. *Also decides* that, in pursuit of this objective, technology needs must be nationally determined, based on national circumstances and priorities;

115. *Further decides* to accelerate action consistent with international obligations, at different stages of the technology cycle, including research and development, demonstration, deployment, diffusion and transfer of technology (hereinafter referred in

this decision as technology development and transfer) in support of action on mitigation and adaptation;

116. *Encourages* Parties, in the context of Article 4, paragraphs 1(c) and 5, of the Convention and consistent with their respective capabilities and national circumstances and priorities, to undertake domestic actions identified through country-driven approaches, to engage in bilateral and multilateral cooperative activities on technology development and transfer and to increase private and public research, development and demonstration in relation to technologies for mitigation and adaptation;

117. *Decides* to establish a Technology Mechanism to facilitate the implementation of actions for achieving the objective referred to in paragraphs 113–115 above, under the guidance of and accountable to the Conference of the Parties, which will consist of the following components:

(a) A Technology Executive Committee, to undertake the functions contained in paragraph 121 below;

(b) A Climate Technology Centre and Network, to undertake the functions contained in paragraph 123 below;

118. *Also decides* that the Technology Executive Committee and the Climate Technology Centre and Network, consistent with their respective functions, should facilitate the effective implementation of the Technology Mechanism, under the guidance of the Conference of the Parties;

119. *Further decides* that the Technology Executive Committee shall further implement the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention adopted by decision 4/CP.7 and enhanced by decision 3/CP.13;

120. *Decides* that priority areas that could be considered under the Convention may include:

(a) Development and enhancement of the endogenous capacities and technologies of developing country Parties, including cooperative research, development and demonstration programmes;

(b) Deployment and diffusion of environmentally sound technologies and know-how in developing country Parties;

(c) Increased public and private investment in technology development, deployment, diffusion and transfer;

(d) Deployment of soft and hard technologies for the implementation of adaptation and mitigation actions;

(e) Improved climate change observation systems and related information management;

(f) Strengthening of national systems of innovation and technology innovation centres;

(g) Development and implementation of national technology plans for mitigation and adaptation;

121. *Also decides* that the functions of the Technology Executive Committee shall be to:

(a) Provide an overview of technological needs and analysis of policy and technical issues related to the development and transfer of technologies for mitigation and adaptation;

(b) Consider and recommend actions to promote technology development and transfer, in order to accelerate action on mitigation and adaptation;

(c) Recommend guidance on policies and programme priorities related to technology development and transfer with special consideration given to the least developed country Parties;

(d) Promote and facilitate collaboration on the development and transfer of technologies for mitigation and adaptation between governments, the private sector, non-profit organizations and academic and research communities;

(e) Recommend actions to address the barriers to technology development and transfer in order to enable enhanced action on mitigation and adaptation;

(f) Seek cooperation with relevant international technology initiatives, stakeholders and organizations, and promote coherence and cooperation across technology activities, including activities under and outside of the Convention;

(g) Catalyse the development and use of technology road maps or action plans at the international, regional and national levels through cooperation between relevant stakeholders, particularly governments and relevant organizations or bodies, including the development of best practice guidelines as facilitative tools for action on mitigation and adaptation;

122. *Further decides* that the Technology Executive Committee shall have the mandate and composition as contained in appendix IV to this decision;

123. *Decides* that the Climate Technology Centre shall facilitate a network of national, regional, sectoral and international technology networks, organizations and initiatives with a view to engaging the participants of the Network effectively in the following functions:

(a) At the request of a developing country Party:

(i) Providing advice and support related to the identification of technology needs and the implementation of environmentally sound technologies, practices and processes;

(ii) Facilitating the provision of information, training and support for programmes to build or strengthen capacity of developing countries to identify technology options, make technology choices and operate, maintain and adapt technology;

(iii) Facilitating prompt action on the deployment of existing technology in developing country Parties based on identified needs;

(b) Stimulating and encouraging, through collaboration with the private sector, public institutions, academia and research institutions, the development and transfer of existing and emerging environmentally sound technologies, as well as opportunities for North–South, South–South and triangular technology cooperation;

(c) Facilitating a network of national, regional, sectoral and international technology centres, networks, organization and initiatives with a view to:

(i) Enhancing cooperation with national, regional and international technology centres and relevant national institutions;

(ii) Facilitating international partnerships among public and private stakeholders to accelerate the innovation and diffusion of environmentally sound technologies to developing country Parties;

- (iii) Providing, at the request of a developing country Party, in-country technical assistance and training to support identified technology actions in developing country Parties;
- (iv) Stimulating the establishment of twinning centre arrangements to promote North–South, South–South and triangular partnerships, with a view to encouraging cooperative research and development;
- (v) Identifying, disseminating and assisting with developing analytical tools, policies and best practices for country-driven planning to support the dissemination of environmentally sound technologies;
- (d) Performing other such activities as may be necessary to carry out its functions;

124. *Also decides* to terminate the mandate of the Expert Group on Technology Transfer at the conclusion of the sixteenth session of the Conference of the Parties;

125. *Further decides* that the Technology Executive Committee shall convene its first meeting as soon as practicable following the election of its members and shall elaborate its modalities and procedures taking into account the need to achieve coherence and maintain interactions with other relevant institutional arrangements under and outside of the Convention, for consideration by the Conference of the Parties at its seventeenth session;

126. *Decides* that the Technology Executive Committee and the Climate Technology Centre and Network shall report, on an interim basis⁹ and without prejudice to the relationship between the Technology Executive Committee and the Climate Technology Centre and Network as referred to in paragraph 128 (a) below to the Conference of the Parties, through the subsidiary bodies, on their respective activities and the performance of their respective functions;

127. *Also decides* that the Climate Technology Centre and Network and the Technology Executive Committee shall relate so as to promote coherence and synergy;

Work programme for the Ad Hoc Working Group on Long-term Cooperative Action under the Convention in 2011 on technology development and transfer

128. *Underlines* the importance of continued dialogue among Parties in 2011 through the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, including on the following matters, with a view to the Conference of the Parties taking a decision at its seventeenth session, in order to make the Technology Mechanism fully operational in 2012:

- (a) The relationship between the Technology Executive Committee and the Climate Technology Centre and Network, and their reporting lines;
- (b) The governance structure of and terms of reference for the Climate Technology Centre and Network and how the Climate Technology Centre will relate to the Network, drawing upon the results of the workshop referred to in paragraph 129 below;
- (c) The procedure for calls for proposals and the criteria to be used to evaluate and select the host of the Climate Technology Centre and Network;
- (d) The potential links between the Technology Mechanism and the financial mechanism;
- (e) Consideration of additional functions for the Technology Executive Committee and the Climate Technology Centre and Network;

⁹ Until there is a decision on the issues contained in paragraph 128 (a) below.

129. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to convene an expert workshop, in conjunction with one of its sessions in 2011, on the matters contained in paragraph 128 above, drawing upon the preliminary work undertaken by the Expert Group on Technology Transfer, and to report on the results of this workshop at that session;

C. Capacity-building

Reaffirming that capacity-building is essential to enable developing country Parties to participate fully in addressing the challenges of climate change, and to implement effectively their commitments under the Convention,

Recalling the provisions related to capacity-building for developing country Parties contained in relevant decisions adopted by the Conference of the Parties, especially decision 2/CP.7,

Taking into account that the scope of capacity-building and related needs as contained in the annex to decision 2/CP.7 and the key factors identified in decision 2/CP.10 remain valid,

Acknowledging that capacity-building is cross-cutting in nature and an integral part of enhanced action on mitigation, adaptation, technology development and transfer, and access to financial resources,

Also acknowledging that, in addition, there may be specific capacity-building activities that require support to enable developing countries to undertake the enhanced implementation of the Convention,

Reaffirming that capacity-building should be a continuous, progressive and iterative process that is participatory, country-driven and consistent with national priorities and circumstances,

130. *Decides* that capacity-building support to developing country Parties should be enhanced with a view to strengthening endogenous capacities at the subnational, national or regional levels, as appropriate, taking into account gender aspects, to contribute to the achievement of the full, effective and sustained implementation of the Convention, by, inter alia:

(a) Strengthening relevant institutions at various levels, including focal points and national coordinating bodies and organizations;

(b) Strengthening networks for the generation, sharing and management of information and knowledge, including through North–South, South–South and triangular cooperation;

(c) Strengthening climate change communication, education, training and public awareness at all levels;

(d) Strengthening integrated approaches and the participation of various stakeholders in relevant social, economic and environmental policies and actions;

(e) Supporting existing and emerging capacity-building needs identified in the areas of mitigation, adaptation, technology development and transfer, and access to financial resources;

131. *Also decides* that financial resources for enhanced action on capacity-building in developing country Parties should be provided by Parties included in Annex II to the Convention and other Parties in a position to do so through the current and any future

operating entities of the financial mechanism, as well as through various bilateral, regional and other multilateral channels, as appropriate;

132. *Encourages* developed country Parties to continue to report through their national communications, 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”, on the support they have provided for capacity-building in developing country Parties;

133. *Invites* developed country Parties in a position to do so to provide information, through annual submissions to the secretariat and other appropriate channels, on the support they have provided for capacity-building in developing country Parties;

134. *Encourages* developing country Parties to continue to report through their national communications, in accordance with the “Guidelines for the preparation of national communications from Parties not included in Annex I to the Convention”, on progress made in enhancing their capacity to address climate change, including on the use of the support received;

135. *Invites* developing country Parties in a position to do so to provide information, through annual submissions to the secretariat and other appropriate channels, on progress made in enhancing their capacity to address climate change, including on the use of the support received;

136. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to consider ways to further enhance the monitoring and review of the effectiveness of capacity-building, for consideration by the Conference of the Parties at its seventeenth session;

137. *Also requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to further elaborate the modalities regarding institutional arrangements for capacity-building, for consideration by the Conference of the Parties at its seventeenth session;

V. Review

138. *Decides* to periodically review the adequacy of the long-term global goal referred to in paragraph 4 above, in the light of the ultimate objective of the Convention, and overall progress towards achieving it, in accordance with the relevant principles and provisions of the Convention;

139. *Also decides* that:

(a) This review should be guided by the principles of equity, and common but differentiated responsibilities and respective capabilities and take into account, inter alia:

(i) The best available scientific knowledge, including the assessment reports of the Intergovernmental Panel on Climate Change;

(ii) Observed impacts of climate change;

(iii) An assessment of the overall aggregated effect of the steps taken by Parties in order to achieve the ultimate objective of the Convention;

(iv) Consideration of strengthening the long-term global goal, referencing various matters presented by the science, including in relation to temperature rises of 1.5 °C;

(b) The first review should start in 2013 and should be concluded by 2015;

(c) The Conference of the Parties shall take appropriate action based on the review;

140. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to further define the scope of this review and develop its modalities, including the required inputs, with a view to their adoption by the Conference of the Parties at its seventeenth session;

VI. Other matters

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

Recalling Article 4, paragraph 6, of the Convention and relevant decisions of the Conference of the Parties, especially decisions 3/CP.7 and 3/CP.13 relating to Parties included in Annex I to the Convention undergoing the process of transition to a market economy,

Noting that Parties included in Annex I to the Convention undergoing the process of transition to a market economy are not included in Annex II to the Convention and as such are not subject to the provisions of Article 4, paragraphs 3 and 4, of the Convention,

Recalling that Article 4, paragraph 6, of the Convention provides that a certain degree of flexibility shall be allowed by the Conference of the Parties to Parties included in Annex I to the Convention undergoing the process of transition to a market economy,

Taking note of the submissions from Parties contained in document FCCC/AWGLCA/2010/MISC.6/Add.2,

141. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to continue consideration of these issues with a view to promoting access by Parties included in Annex I to the Convention undergoing the process of transition to a market economy to technology, capacity-building and finance in order to enhance their ability to develop low-emission economies;

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

Recalling decision 26/CP.7 that amended the list in Annex II to the Convention by deleting the name of Turkey,

Recalling decision 26/CP.7 that invited Parties to recognize the special circumstances of Turkey, which place Turkey in a situation different from that of other Parties included in Annex I to the Convention,

Recognizing that Turkey is in a situation different from that of other Parties included in Annex I to the Convention,

Noting that Turkey is not included in Annex II to the Convention and as such is not subject to the commitments of Article 4, paragraphs 3–5, of the Convention and that Turkey is eligible for support under Article 4, paragraph 5, of the Convention,

Taking note of the submission from Turkey contained in document FCCC/AWGLCA/2010/MISC.8,

142. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to continue consideration of these issues with a view to promoting access by Turkey to finance, technology and capacity-building in order to enhance its ability to better implement the Convention;

VII. Extension of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

143. *Decides* to extend the Ad Hoc Working Group on Long-term Cooperative Action under the Convention for one year, in order for it to continue its work with a view to carrying out the undertakings contained in this decision and present the results to the Conference of the Parties for consideration at its seventeenth session;

144. *Requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to continue its work drawing on the documents under its consideration;

145. *Also requests* the Ad Hoc Working Group on Long-term Cooperative Action under the Convention to continue discussing legal options with the aim of completing an agreed outcome based on decision 1/CP.13 (Bali Action Plan), the work done at the sixteenth session of the Conference of the Parties and proposals made by Parties under Article 17 of the Convention;

146. *Further requests* the secretariat to make the necessary arrangements in accordance with any guidance from the Bureau of the Conference of the Parties;

147. *Mandates* the host country of the next session of the Conference of the Parties to undertake inclusive and transparent consultations in order to facilitate the work towards the success of that session.

Appendix I

Guidance and safeguards for 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

1. The activities referred to in paragraph 70 of this decision should:
 - (a) Contribute to the achievement of the objective set out in Article 2 of the Convention;
 - (b) Contribute to the fulfilment of the commitments set out in Article 4, paragraph 3, of the Convention;
 - (c) Be country-driven and be considered options available to Parties;
 - (d) Be consistent with the objective of environmental integrity and take into account the multiple functions of forests and other ecosystems;
 - (e) Be undertaken in accordance with national development priorities, objectives and circumstances and capabilities and should respect sovereignty;
 - (f) Be consistent with Parties' national sustainable development needs and goals;
 - (g) Be implemented in the context of sustainable development and reducing poverty, while responding to climate change;
 - (h) Be consistent with the adaptation needs of the country;
 - (i) Be supported by adequate and predictable financial and technology support, including support for capacity-building;
 - (j) Be results-based;
 - (k) Promote sustainable management of forests;
2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:
 - (a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
 - (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
 - (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
 - (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
 - (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the

protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;¹

- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions.

¹ Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day.

Appendix II

Work programme of the Subsidiary Body for Scientific and Technological Advice on 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

In the development of its work programme, the Subsidiary Body for Scientific and Technological Advice is requested to:

(a) Identify land use, land-use change and forestry activities in developing countries, in particular those that are linked to the drivers of deforestation and forest degradation, identify the associated methodological issues to estimate emissions and removals resulting from these activities, and assess the potential contribution of these activities to the mitigation of climate change, and report on the findings and outcomes of this work to the Conference of the Parties (COP) at its eighteenth session on the outcomes of the work referred to in this paragraph;

(b) Develop modalities relating to paragraphs 71 (b) and (c) and guidance relating to paragraph 71 (d) of this decision, for consideration by the COP at its seventeenth session;

(c) Develop, as necessary, modalities for measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes resulting from the implementation of the activities referred to in paragraph 70 of this decision, consistent with any guidance on measuring, reporting and verifying nationally appropriate mitigation actions by developing country Parties agreed by the COP, taking into account methodological guidance in accordance with decision 4/CP.15, for consideration by the COP at its seventeenth session.

Appendix III

Terms of reference for the design of the Green Climate Fund

1. The Transitional Committee shall develop and recommend to the Conference of the Parties for its approval at its seventeenth session operational documents that address, inter alia:

(a) The legal and institutional arrangements for the establishment and operationalization of the Green Climate Fund;

(b) The rules of procedure of the Green Climate Fund Board and other governance issues related to the Board;

(c) Methods to manage the large scale of financial resources from a number of sources and deliver through a variety of financial instruments, funding windows and access modalities, including direct access, with the objective of achieving a balanced allocation between adaptation and mitigation;

(d) The financial instruments that the Fund can use to achieve its priorities;

(e) Methods to enhance complementarity between the Fund's activities and those of other bilateral, regional and multilateral funding mechanisms and institutions;

(f) The role of the Fund's secretariat and the procedure for selecting and/or establishing the secretariat;

(g) A mechanism to ensure periodic independent evaluation of the Fund's performance;

(h) Mechanisms to ensure financial accountability and to evaluate the performance of activities supported by the Fund, in order to ensure the application of environmental and social safeguards as well as internationally accepted fiduciary standards and sound financial management to the Fund's activities;

(i) Mechanisms to ensure the provision of appropriate expert and technical advice, including from relevant thematic bodies established under the Convention;

(j) Mechanisms to ensure stakeholder input and participation.

2. In the conduct of its work, the Transitional Committee shall:

(a) Convene its first meeting by March 2011;

(b) Encourage input from all Parties and from relevant international organizations and observers;

(c) Take into account the findings contained in relevant reports.

Appendix IV

Composition and mandate of the Technology Executive Committee

1. The Technology Executive Committee shall comprise 20 expert members, elected by the Conference of the Parties (COP), serving in their personal capacity and nominated by Parties with the aim of achieving a fair and balanced representation, as follows:
 - (a) Nine members from Parties included in Annex I to the Convention (Annex I Parties);
 - (b) Three members from each of the three regions of the Parties not included in Annex I to the Convention (non-Annex I Parties), namely Africa, Asia and the Pacific, and Latin America and the Caribbean, one member from a small island developing State and one member from a least developed country Party.
2. Decisions will be taken according to the rule of consensus.
3. Parties are encouraged to nominate senior experts to the Technology Executive Committee, with a view to achieving, within the membership, an appropriate balance of technical, legal, policy, social development and financial expertise relevant to the development and transfer of technology for adaptation and mitigation, taking into account the need to achieve gender balance in accordance with decision 36/CP.7.
4. Members shall serve for a term of two years and shall be eligible to serve a maximum of two consecutive terms of office. 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;
 - (b) Thereafter, the COP shall elect every year a member for a term of two years;
 - (c) The members shall remain in office until their successors are elected.
5. The Technology Executive Committee shall elect annually a chair and a vice-chair from among its members for a term of one year each, with one being a member from an Annex I Party and the other being a member from a non-Annex I Party. The positions of chair and vice-chair shall alternate annually between a member from an Annex I Party and a member from a non-Annex I Party.
6. If the chair is temporarily unable to fulfil the obligations of the office, the vice-chair shall serve as chair. In the absence of the chair and vice-chair at a particular meeting, any other member designated by the Technology Executive Committee shall temporarily serve as the chair of that meeting.
7. If the chair or vice-chair is unable to complete the term of office, the Technology Executive Committee shall elect a replacement to complete the term of office, taking into account paragraph 5 above.
8. If a member of the Technology Executive Committee resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, the Technology Executive Committee may decide, bearing in mind the proximity of the next session of the COP, to appoint another member from the same constituency to replace said member for the remainder of that member's mandate, in which case the appointment shall count as one term.
9. The Technology Executive Committee, in performing its functions, should draw upon outside expertise, including the UNFCCC roster of experts and the Climate

Technology Centre and Network, to provide advice, including as expert advisers at its meetings.

10. The Technology Executive Committee should seek input from intergovernmental and international organizations and the private sector and may seek input from civil society in undertaking its work. It may invite advisers drawn from relevant intergovernmental and international organizations as well as the private sector and civil society to participate in its meetings as expert advisers on specific issues as they arise.

11. The meetings of the Technology Executive Committee shall be open to attendance by accredited observer organizations, except where otherwise decided by the Technology Executive Committee.

12. The secretariat shall support and facilitate the work of the Technology Executive Committee.

9th plenary meeting
10–11 December 2010

Decision 5/CMP.6

Report of the Adaptation Fund Board

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

Recalling Article 12, paragraph 8, of the Kyoto Protocol,

Also recalling decisions 3/CMP.1, 28/CMP.1, 5/CMP.2, 1/CMP.3, 1/CMP.4 and 4/CMP.5,

Taking note of the report of the Adaptation Fund Board,¹

1. *Adopts* the amendments 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, in accordance with decision 1/CMP.4, as contained in the annex to this decision;
2. *Requests* the Chair of the Adaptation Fund Board to inform the Board of Directors of the International Bank for Reconstruction and Development of the amendments to the terms and conditions of services to be provided by the International Bank for Reconstruction and Development as interim trustee for the Adaptation Fund;
3. *Expresses its appreciation* to the Government of Germany for conferring legal capacity on the Adaptation Fund Board, which will facilitate the implementation of the direct access modality to resources from the Adaptation Fund;
4. *Welcomes* the support from the Governments of Finland, France, Japan, Norway and Switzerland in transferring their pro rata share of the balance of the Administrative Trust Fund of the Adaptation Fund as a contribution to the Adaptation Fund Trust Fund;
5. *Also welcomes* the financial support provided by the Governments of Germany, Monaco, Spain and Sweden in accordance with decision 4/CMP.5, paragraph 9;
6. *Continues to encourage* Parties included in Annex I to the Convention (Annex I Parties) and international organizations to provide funding to the Adaptation Fund, which will be additional to the share of proceeds from clean development mechanism project activities;
7. *Takes note with appreciation* of the work carried out by the Adaptation Fund Board concerning:
 - (a) The inception of the process of accreditation of implementing entities, including the accreditation of national implementing entities that can access resources from the Adaptation Fund directly;
 - (b) Progress on the monetization of certified emission reductions;
 - (c) The approval of two full proposals and the endorsement of concept documents for six projects;
8. *Requests* the secretariat, subject to the availability of resources, in consultation with the Adaptation Fund Board, and making use of the Adaptation Fund Accreditation Toolkit, lessons learned and best practices, to conduct up to three regional or subregional, as appropriate, workshops, with the possibility of another, as circumstances permit and as

¹ FCCC/KP/CMP/2010/7.

warranted, in order to familiarize Parties with the process and the requirements of the accreditation of national implementing entities;

9. *Also requests* the secretariat to collaborate with the Adaptation Fund Board secretariat in the conduct of and dissemination of information on the workshops referred to in paragraph 8 above, taking into consideration the need to target workshops to potential national implementing entities;

10. *Invites* Annex I Parties and international organizations and other Parties in a position to do so to provide funding and support for the workshops referred to in paragraph 8 above;

11. *Requests* the secretariat to report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eighth session on efforts to implement paragraphs 8, 9 and 10 above and the outcomes of the workshops, in order for Parties to assess the efficiency and effectiveness of the workshops at that session.

Annex

Amendments to the terms and conditions of services to be provided by the International Bank for Reconstruction and Development as trustee for the Adaptation Fund

1. Paragraph 34 of the appendix to annex III to decision 1/CMP.4 should be revised as follows:

The Trustee's role as trustee servicing the Adaptation Fund under the Terms and Conditions shall be automatically terminated three months after the ninth session of the CMP, 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.

2. Paragraph 38 of the appendix to annex III to decision 1/CMP.4 should be revised as follows:

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 adopt and accept the Terms and Conditions or any amendments to the same.

*10th plenary meeting
10–11 December 2010*

Decision 6/CMP.6

Review of the Adaptation Fund

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

Recalling decisions 5/CMP.2, 1/CMP.3, 1/CMP.4 and 5/CMP.5,

Taking note of the conclusions of the Subsidiary Body for Implementation at its thirty-second session¹ on the review of the Adaptation Fund,

Also taking note of the views contained in submissions from Parties,²

1. *Decides* to undertake the review of the Adaptation Fund at its seventh session and every three years thereafter;
2. *Also decides* that the review will be undertaken in accordance with the terms of reference contained in the annex to this decision;
3. *Requests* the Adaptation Fund Board to make available in its report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its seventh session the performance reviews of the interim secretariat and the interim trustee servicing the Adaptation Fund, in accordance with paragraph 33 of decision 1/CMP.3;
4. *Invites* Parties and interested international organizations and stakeholders to submit to the secretariat, by 19 September 2011, their views on the review of the Adaptation Fund based on the terms of reference annexed to this decision;
5. *Requests* the secretariat to compile into a miscellaneous document the views submitted by Parties and interested international organizations and stakeholders, for the consideration of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its seventh session.

¹ FCCC/SBI/2010/10, paragraphs 114–118.

² FCCC/SBI/2010/MISC.2.

Annex

Terms of reference for the initial review of the Adaptation Fund

I. Introduction

1. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decided to undertake, at its sixth session, a review of all matters relating to the Adaptation Fund, including its institutional arrangements, with a view to ensuring the effectiveness and adequacy of the Fund. The review shall take into account the outcome of the performance reviews of the interim secretariat and the interim trustee servicing the Adaptation Fund and submissions from Parties and interested intergovernmental organizations and stakeholders. The CMP further decided that the interim institutional arrangements with the Global Environment Facility (GEF) for the provision of secretariat services to the Adaptation Fund Board, as well as the interim institutional arrangements with the International Bank for Reconstruction and Development (the World Bank) for the provision of trustee services to the Adaptation Fund, shall be reviewed at the sixth session of the CMP.¹

2. The CMP, at its fifth session, requested the Subsidiary Body for Implementation to initiate the review of the Adaptation Fund at its thirty-second session and to agree on the terms of reference for the review and report back to the CMP at its sixth session so that the review can be undertaken by the CMP.² At its sixth session the CMP decided to undertake the review of the Adaptation Fund at its seventh session.

II. Objective

3. The objective of this initial review is to ensure the effectiveness and adequacy of the Adaptation Fund and its interim institutional arrangements, with a view to the CMP adopting an appropriate decision on this matter at its seventh session.

III. Scope

4. The scope of the initial review of the Adaptation Fund is a review of all matters related to the Adaptation Fund, including institutional arrangements, taking stock of the progress made to date and lessons learned in the operationalization and implementation of the Fund. Given that the Adaptation Fund has only recently become fully operational, this initial review shall focus on, inter alia:

(a) The interim institutional arrangements of the GEF acting as interim secretariat of the Adaptation Fund Board, as well as the interim institutional arrangements of the World Bank acting as the interim trustee for the Adaptation Fund and all matters related to the Adaptation Fund Board;

(b) Performance reviews of the GEF acting as interim secretariat of the Adaptation Fund Board, as well as the interim institutional arrangements of the World Bank acting as the interim trustee for the Adaptation Fund;

¹ Decision 1/CMP.3, paragraphs 32–34.

² Decision 5/CMP.5.

(c) A comparative assessment of the administrative costs of the services of the GEF as interim secretariat of the Adaptation Fund Board, the World Bank acting as an interim trustee for the Adaptation Fund and the Adaptation Fund Board.

IV. Methodology

5. In conducting the initial review of the Adaptation Fund, Parties shall use the following inputs:

(a) Submissions from Parties, interested intergovernmental organizations and stakeholders on, inter alia, the interim institutional arrangements of the GEF acting as interim secretariat of the Adaptation Fund Board, as well as the interim institutional arrangements of the World Bank acting as the interim trustee for the Adaptation Fund and the working arrangements of the Board, informed by the annual reports of the Adaptation Fund Board to the CMP;

(b) Independent performance reviews of the interim secretariat and the interim trustee servicing the Adaptation Fund, to be undertaken by the Adaptation Fund Board or by an independent entity appointed for such purposes by the Adaptation Fund Board;

(c) A comparative analysis of administrative costs of the services of the GEF as interim secretariat of the Adaptation Fund Board, the World Bank acting as an interim trustee for the Adaptation Fund and the Adaptation Fund Board;

(d) Annual reports of the Adaptation Fund Board to the CMP.

*10th plenary meeting
10–11 December 2010*